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U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

September 14, 2001

Date Issued: September 14, 2001 Closing Date: December 11, 2001 Closing Time: 5:30 p.m. (EST)

#### Dear Colleague:

I am pleased to announce the FY 2002 PVO Child Survival Grants Program, funded by the Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC).

Since 1985, the BHR/PVC has invested congressionally directed Child Survival funds in community-based child survival programs implemented by U.S. PVOs and their local partners. The program is intended to enhance the participation of PVOs in reducing infant, child, and maternal mortality in developing countries, and to strengthen their organizational, managerial, and technical competencies in these areas. The rigorous standards of the PVO Child Survival Grants Program challenge PVOs and their local partners to provide higher quality, sustainable, child survival interventions in a variety of program settings, from the smallest, most remote communities to large district wide programs, partnering with community groups to district health authorities.

The Child Survival Grants Program continues to ensure consistency with BHR/PVC's Strategic Objective and to harmonize core components with other grant mechanisms in the office. The attached application request incorporates program priorities that are based on lessons learned from the current strategy, assessment of past performances and an analysis of current trends. These include: New Program Approaches; Development of Strategic Partnerships; Enhancing Networks and Coalitions; Strengthening Local Organizations; Expanding and Replicating Proven Program Approaches; Promoting PVO Organizational and Technical Development; and Strengthening Information Technology.

Priorities for the FY 2002 PVO Child Survival Grants Program are for programs that:

- 1. Apply effective, innovative, integrated child survival strategies, deliverable at reasonable costs, with a high potential for sustainability, and possible scale-up within the capability of the applicant and its partners.
- 2. Develop synergies with other programs in the same site, such as food aid, microcredit, water and sanitation, agriculture, relief, and organizational development, carried out by the same PVO or complementary to another organization.
- 3. Work in partnership with regional, national, or local (in-country) partners, or promote collaborative activities such as the development of in-country or regional networks.

- 2 -

4. Employ a public health approach to address the child health needs of the most vulnerable populations, including diseases such as malaria, HIV/AIDS, and other infectious diseases. See Eligible Countries under Section II for classification of priority countries.

#### **NEW THIS YEAR:**

- A PVO may be a recipient of no more then **six** (6) ongoing child survival programs at any one time.
- The Entry Program category life-of-program is increased from two years to two initial years and the option of three additional years, contingent on an acceptable Detailed Implementation Plan, with a total incrementally funded budget of \$1,100,000.
- Applications scoring over 90 points in the "New" category may be negotiated as grants rather than cooperative agreements, and will have no substantial involvement from BHR/PVC.
- Applications for New Programs, in a country where BHR/PVC has funded the PVO for three to five funding cycles, require a cost-share of 50% of the total program costs. In a country where BHR/PVC has funded the PVO for more than five funding cycles, applications require a cost-share of 75% of the total program costs.
- Contingency planning for natural and man-made emergencies is requested in all program categories.

Full details about the program's purpose and scope, as well as the eligibility requirements and the review process, are described in the attached Request for Applications (RFA). Applications are due in BHR/PVC by December 11, 2001.

BHR/PVC looks forward to receiving and reviewing many fine applications in this cycle. I personally look forward to the opportunity to collaborate with you as a partner in this highly effective program.

Sincerely,

Judith W. Gilmore Director Office of Private and Voluntary Cooperation Bureau for Humanitarian Response

# UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

REQUEST FOR APPLICATIONS (RFA) (938-02-A-0500-18)

Solicitation No.: M/OP-02-008

Date Issued: September 14, 2001 Closing Date: December 11, 2001 Closing Time: 5:30 p.m. (EST)



# FY 2002 CHILD SURVIVAL GRANTS PROGRAM

## BUREAU FOR HUMANITARIAN RESPONSE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION

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<a href="http://www.usaid.gov/procurement\_bus\_opp/procurement/solicitation/">http://www.usaid.gov/procurement\_bus\_opp/procurement/solicitation/</a> Receipt of this RFA through the Internet must be confirmed by written notification to BHR/PVC (fax (202) 216-3041 or 3039). It is the responsibility of the recipient of this solicitation document to ensure that it has been received from the Internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes. If not downloading from the Internet, but rather requesting a copy on a 3.5" floppy diskette or hard copy, please provide a blank diskette and a self-addressed label to the Mailing Address listed in Section III of this RFA.

## **REQUEST FOR APPLICATIONS**

The United States Government, as represented by U.S. Agency for International Development (USAID), Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC), is seeking applications from U.S.-based private and voluntary organizations (PVOs), engaged in international health and development to implement activities under the Child Survival Grants Program (CSGP), as described in the following Request for Application (RFA).

This RFA is issued under the authority of the Foreign Assistance Act of 1961, as amended. USAID plans to enter into a Cooperative Agreement with selected PVOs that meet the requirements of this RFA. Awards will be administered through 22 CFR 226 and the USAID Standard Provisions.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Awards will be made subject to the availability of funds.

#### **NEW THIS YEAR:**

- □ A PVO may be a recipient of no more than **six** (6) ongoing child survival programs at any one time.
- □ The Entry Program category life-of-program is increased from two years, to two initial years and the option of three additional years, contingent on an acceptable Detailed Implementation Plan, with a total incrementally funded budget of \$1,100,000.00.
- □ Applications scoring over 90 points in the "New" category may be negotiated as grants rather than cooperative agreements and will have no substantial involvement from BHR/PVC.
- □ Applications for new programs, in a country where BHR/PVC has funded the PVO for three to five funding cycles, require a cost-share of 50% of the total program costs. In a country where BHR/PVC has funded the PVO for more than five funding cycles, applications require a cost-share of 75% of the total program costs.
- □ Contingency planning for natural and man-made emergencies is requested in all program categories.

The "follow-on" category was discontinued in FY 2000. Instead, PVOs with programs that are ending in FY 2002 may apply for a cost-extension. Guidelines for the cost-extension application will be sent under separate cover to all PVOs with programs ending in FY 2002.

Any prospective applicant who has a question concerning the contents of this RFA should submit questions in writing to the Child Survival Division, BHR/PVC (fax (202) 216-3041 or 3039) by close of business **October 31, 2001**. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

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## LIST OF ACRONYMS

AIDS Acquired Immune Deficiency Syndrome

BCC Behavior Change Communications

BHR Bureau for Humanitarian Response

CA Cooperative Agreement

CAB Cooperative Agreement Budget

CORE Child Survival Collaborations and Resources Group

CS Child Survival

CSGP Child Survival Grants Program

CSTS Child Survival Technical Support Program

CTO Cognizant Technical Officer

DIP Detailed Implementation Plan

HIV Human Immunodeficiency Virus

HQ Headquarters

IMCI Integrated Management of Childhood Illness

IR Intermediate Result

MOH Ministry of Health

NGO Non-governmental Organization

NICRA Negotiated Indirect Cost Rate Agreement

OP Office of Procurement

PVO Private Voluntary Organization

PVC Office of Private and Voluntary Cooperation

RFA Request for Application

SO Strategic Objective

USAID United States Agency for International Development

#### I. BACKGROUND

## A. Overview of the Office of Private and Voluntary Cooperation

PVC, operating within USAID's Bureau for Humanitarian Response, is the principal office within USAID for promoting the development of partnerships with private voluntary organizations (PVOs) and cooperative development organizations (CDOs). PVC is a critical participant in the development of Agency policies that affect these non-governmental organizations (NGOs). PVC is responsible for registering PVOs for the Agency and is a central point of contact in USAID for information on PVO capabilities and programs.

PVC administers and funds a number of competitive grants programs that support PVOs and their in-country partners to address critical development needs. PVC's grants programs include Matching Grants, Child Survival, Cooperative Development, Victims of Torture, Farmer-to-Farmer, Development Education, and Ocean Freight Reimbursement.

## B. PVC's Program Strategy

PVC's primary mandate is to strengthen the capacity of PVOs to design and implement innovative and effective development activities in priority sectors of mutual interest to USAID and the PVO community. BHR/PVC's Strategic Objective is "to increase the capability of PVC's PVO partners to achieve sustainable service delivery." At the same time, PVC seeks to ensure that increased capacity results in effective service delivery at the local level.

Activities to achieve this objective include the following:

- improving the operational and technical capacity of PVOs;
- □ strengthening USAID and PVO partnerships;
- □ strengthening partnerships between PVOs and in-country non-governmental organizations;
- improving the mobilization of resources for development activities; and
- □ raising U.S. public awareness of the importance of USAID's development assistance programs.

PVC's Strategic Plan outlines PVC's program directions and provides a framework for PVC funded grants programs. To understand how the grants contribute to achieving PVC's strategic objectives, all prospective applicants are urged to familiarize themselves with the Strategic Plan and the latest Results Review (R2). To download PVC's Strategic Plan and R2, go to PVC's homepage at http://www.usaid.gov/hum\_response/pvc/pvcpubs.html.

PVC is in the process of developing a new five-year Strategic Plan. Program priorities have emerged based on the lessons learned in the current strategy, an assessment of past performance, and an analysis of current trends. These priorities incorporate new program approaches and strategies that may be implemented within the existing PVC grant programs. These include the following:

## 1. New Program Approaches

PVC will support opportunities for PVOs to address critical and emerging issues. Illustrative examples include: a) developing rapid response and multi-sectoral approaches to HIV/AIDS in countries where the diseases are prevalent; or b) testing new program approaches to incorporate more conflict mitigation efforts within development programs. These types of approaches will enhance PVC's continuing programs in all Agency sectors.

## 2. Development of Strategic Partnerships

PVC will increase involvement and investment through partnerships with corporations, universities, and foundations that will result in increased parallel investments in PVO development programs. Some examples include: a) forging partnerships with agribusinesses to increase private sector investments in preventive maternal and child health services; or b) leveraging U.S. business support for social and economic development programs implemented by U.S. PVOs and local coffee cooperatives.

#### 3. Enhance Networks and Coalitions

PVC will fund programs that strengthen national and in-country coalitions and networks to become stronger implementers and advocates in priority sectors such as agriculture, environment, health, education, civil society, and human rights. Working with these groups can: enhance policy reform, technical leadership, shared learning, and innovation; expand impact; and create sustainable programs.

## 4. Strengthen Local Organizations

PVC supports partnership efforts to increase the capacity of PVOs to strengthen regional, national, and local groups to improve their ability to design and deliver services. The role of the PVO is evolving from that of a direct service provider to that of a facilitator of the work carried out by non-governmental organizations, cooperatives, cooperative development organizations, and in-country civil-society organizations. As programs and services become increasingly decentralized, these partners are playing an important role in assisting local governments to develop and implement equitable and sustainable services.

## 5. Expand and Replicate Proven Program Approaches

PVC will fund programs that place priority on expanding effective and successful programs (such as scaling-up), transferring technical capacity to non-governmental organizations and other local groups to implement these programs, and institutionalizing the skills needed to sustain programs and learning. PVC also will support the policy reform and advocacy processes needed for national or multi-country replication.

## 6. Promote PVO Organizational and Technical Development

PVC will continue to support organizational and technical development, especially for PVOs that want to work in, or expand into, new sectors. Examples include promoting:

- relief PVOs that want to build development capacity in health and child survival;
- development PVOs that want to integrate HIV/AIDS activities in their microenterprise programs;
- agricultural PVOs that want to move to a multisectoral approach by offering business development services; and
- development PVOs working in conflict prone countries that want to address issues of conflict and natural disaster within the context of development needs.

## 7. Strengthen Information Technology

PVC will support PVOs and their partners' efforts in developing their organizational capacity to take full advantage of information technology, including accessing emerging media communication to meet their needs. Examples include:

- spurring the deployment of advanced information infrastructure to remote and other under-served populations;
- providing education and training to local entrepreneurs, knowledge workers, policy-makers and regulators; and
- of ostering the use of information technology in agriculture, commerce, health, education, the environment and other sectors supported by USAID.

#### C. OVERVIEW OF THE CHILD SURVIVAL GRANTS PROGRAM

Since 1985, the Office of Private and Voluntary Cooperation has invested Congressionally-directed Child Survival Funds in community-based child survival programs implemented by U.S. PVOs and their local partners. The program is intended to enhance the participation of PVOs in reducing infant, child, and maternal mortality in developing countries and to strengthen their organizational, managerial, and technical competencies in these areas. BHR/PVC works with a broad range of organizations with a spectrum of different skills and abilities.

Since the program began, BHR/PVC has funded more than 300 child survival programs in 44 countries, with more than 35 PVOs. The rigorous standards of the Child Survival Grants Program challenge PVOs and their local partners to provide higher quality, sustainable child survival interventions in a variety of program settings, from the smallest, most remote communities to large, district-wide programs, partnering with community groups and district health authorities. BHR/PVC strives for a participatory approach to this program, and continually elicits feedback from PVO partners to raise the standards of the program, to reflect the realities of the global development situation, and to incorporate the experience of the PVOs into the program guidelines.

Since the late 1980s, the PVOs funded under the Child Survival Grants Program have met on a regular basis to discuss technical needs. In 1997, the group formalized itself into a network known as The CORE Group (The Child Survival Collaborations and Resources Group). It now has more than 35 member organizations, all of which are current or past recipients in the Child Survival Grants Program. The goal of CORE is to assist member organizations to reduce child and maternal mortality by improving health of under-served populations. The members of CORE are citizen-supported, U.S.-based PVOs, i.e. non-profit organizations supported by individuals, groups, and corporations, in addition to receiving Government support. Collectively, CORE members have presence in more than 140 countries. They have had enormous impact throughout the world in addressing not only the challenges of child survival but also those of agriculture, education, economics, poverty alleviation, medical care, sanitation, environmental problems, and the growth of democracy. For more information, see the CORE web site <a href="http://www.coregroup.org/">http://www.coregroup.org/</a>.

BHR/PVC supports specific activities for PVOs funded under the Child Survival Grants Program. A BHR/PVC contractor, ORC/Macro International, implements the Child Survival Technical Support (CSTS) contract to strengthen:

- the ability of PVO staff to design, manage and evaluate their child survival activities;
- the organizational capacity of PVO health units to fund, administer and provide backstopping support to a growing portfolio of child survival and health projects;
- the development and dissemination of information on the PVOs' successes and comparative advantage in implementing health programs;
- the ability of PVOs to strengthen host-country partners in long-term partnerships for child survival and health programming; and
- BHR/PVC's monitoring of performance, and management of the Child Survival Grants Program.

Through CSTS and other mechanisms, PVOs may receive individualized technical assistance in program design and implementation and periodic state-of-the-art information on child survival interventions. CSTS also offers training opportunities focusing on measuring, documenting and disseminating results and specialized workshops and conferences for personnel at the country, regional and headquarters level. For more information about CSTS, please visit their website: <a href="http://www.childsurvival.com/">http://www.childsurvival.com/</a>.

The objective of the Child Survival Grants Program is to maximize the contribution of U.S.-based PVOs and their local partners for effective child survival programs that measurably improve infant and child health and nutrition and contribute to the achievement of country-specific World Summit for Children goals.

The Child Survival Grants Program aims for:

- a) programs achieving their objectives, and measurably and equitably improving the health of all children and mothers;
- b) the joint collaboration of PVOs and USAID Missions/Offices for community health activities;

- c) increased resource mobilization for child survival activities through increased technical and operational capacity of local partners/NGOs for the design and implementation of child survival programs; and
- d) U.S. public awareness of the worldwide PVO contributions to child survival.

Through resources, training and technical assistance, the Child Survival Grants Program strengthens the ability and capacity of PVO staff to design, manage and evaluate effective child survival activities; to fund and manage a child survival and health portfolio; to engage in long-term partnerships with local government, NGO, or community partners; and to disseminate information on PVOs' comparative advantages in child survival and health activities. This program supports institutional strengthening of U.S. PVO field and headquarters operations, and that of their local partners, enhancing their capacity to reduce infant, child, and maternal mortality and morbidity.

The Child Survival Grants Program contributes to BHR/PVC's overall objectives. As a result of the program, the partnerships between the U.S. PVOs and USAID, both with BHR/PVC and with the USAID Missions, are more collaborative. Through this program, the partnerships between the U.S. PVOs and their local counterparts are also clearly defined and productive. The Child Survival Grants Program requires cost-sharing between USAID and the PVOs to reach a common program goal. The PVOs participating in this program have contributed significantly to its success over the years, with both financial and human resources. Finally, the rigorous requirements of this program have enabled our partners to document their successes, and more vividly convey to their supporters the work they have accomplished in developing countries.

BHR/PVC invests USAID resources in well designed, technically sound, cost-effective programs that focus on activities and strategies through which programs may expect to have the greatest and most sustainable reductions in childhood mortality, in eligible countries and/or program sites with high rates of under-five mortality. Countries and/or program sites with under-five mortality rates higher than 100 deaths per 1,000 live births are this program's highest priority. See Eligible Countries under Section II.

Child survival interventions are actions taken by or for children and communities to reduce the risk, duration, or severity of an adverse child health condition. The Child Survival Grants Program supports programs that implement one or more of the following interventions. Whenever possible, programs should carry out the interventions in an integrated manner.

- Immunization
- Nutrition (including micronutrient promotion or supplementation)
- Breastfeeding
- Control of diarrheal disease
- Pneumonia case management
- Control of malaria
- Maternal and newborn care
- Child Spacing in the context of an integrated child survival program
- Sexually Transmitted Infections
- Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS)
- Other infectious disease activities may be appropriate in certain sites, where they have an impact on child mortality.

In many countries, STI/HIV/AIDS are major threats to child survival. Where appropriate, the Child Survival Grants Program supports PVO efforts towards screening, early detection (voluntary counseling and testing) and efforts to ameliorate the negative impact of HIV/AIDS on young children, their families and communities.

BHR/PVC supports integrated programs to provide the necessary services most effectively. The Integrated Management of Childhood Illness (IMCI), including community and household IMCI (C/HH-IMCI), is an integration strategy that is being adopted by PVOs and is supported by the Child Survival Grants Program.

In countries where IMCI is the MOH method of integration, and for CS projects that will include all of the IMCI interventions, IMCI may be the most appropriate approach. However, for projects that will only include some of the IMCI interventions, or in countries that have not adopted IMCI fully, the PVO may adapt or modify the IMCI approach, or develop some other method of integrating the interventions.

For more information on all the above technical areas, please see Annex C.2., Technical Reference Materials.

## II. Eligibility Requirements and Program Priorities

## A. Funding Priorities

Priorities are for programs that:

- 1. Apply effective, innovative, integrated child survival strategies, deliverable at reasonable costs, with a high potential for sustainability, and possible scale-up within the capability of the applicant and its partners.
- 2. Develop synergies with other programs in the same site, such as food aid, microcredit, water & sanitation, agriculture, relief, and organizational development, carried out by the same PVO or complementary to another organization.
- 3. Work in partnership with regional, national, or local (in-country) partners, or promote collaborative activities such as the development of in-country or regional networks.
- 4. Employ a public health approach to address the child health needs of the most vulnerable populations, including diseases such as malaria, HIV/AIDS, and other infectious diseases. See Eligible Countries under Section II for classification of priority countries.

Annually, the available funds for new awards in the Child Survival Grants Program are in the range of \$12-17 million. The balance of resources for the Child Survival Grants Program are used to incrementally fund ongoing programs and for technical support. While BHR/PVC expects such funding to become available, there can be no assurance that this will be the case and issuance of this RFA does not constitute an award commitment on the part of the U.S. Government. Further, the U.S. Government reserves the right to reject any or all applications received.

In FY 2002, BHR/PVC expects to receive \$2-5 million specifically earmarked for activities that address malaria and HIV/AIDS. We will fund competitive applications that address these diseases within the context of their child survival program.

## **B.** Eligibility and Program Requirements

All applicants will be reviewed according to the following eligibility requirements.

- 1. Be a U.S.-based PVO, currently registered with USAID at the time of application submission. Under the mentoring program, each PVO must be registered.
- 2. Receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources.

**Organizational Requirements** or applicant requirements — To be eligible for funding under the BHR/PVC Child Survival Grants Program, an organization must:

- 1. Contribute, from its non-U.S. Government resources, at least 25% of the total cost of the proposed program (for PVOs proposing a program in a country where they have been funded for three to five cycles under the Child Survival Grants Program, including non-consecutive cycles, a 50% cost-share is required. For six or more cycles, a 75% cost share is required).
- 2. Have at least five years experience implementing health related programs in more than one developing country (organizations interested in building a new sectoral (health) capacity may explore the Matching Grants program).
- 3. Be operational and have a presence in the country where the child survival program is proposed, documented by a signed agreement with the host government included in the application. Previous health program experience in the target country is not required.

**Program Requirements** – Proposed programs must meet the following requirements to be considered for funding:

- 1. Be in an eligible country or countries. A program may include contiguous countries, or those for which there is a clear rationale for proposing a single program that is active in more than one country. The program must meet all the criteria in each country involved. See the list of Eligible Countries below.
- 2. Be in a country where the PVO does not already have an active BHR/PVC-funded Child Survival Cooperative Agreement awarded through the annual competitive process, and which follows this program's requirements.
- 3. Be consistent with USAID's country or regional-specific program priorities in the health sector; the application must document consultation with the USAID Mission. Appropriate USAID offices with oversight for non-presence countries are included in Annex B. Applicants are encouraged to consult with Missions early in the program design process. BHR/PVC solicits USAID Mission approval for proposed programs.
- 4. Be consistent with the national child survival policies in the targeted country.
- 5. Involve formal documented partnerships with a local government, non-governmental organization (NGO), community partner or other local organization. All applications must be prepared in collaboration with the program partners in the proposed site.
- 6. Assign at least one public health professional at the PVO's U.S. headquarters to be responsible for Child Survival Grants Program activities.
- 7. Assign to the program, at the proposed field site, one full-time staff person with substantial experience in implementing community health or child survival programs.

**Eligible Countries -** The USAID Missions have proposed the countries listed on the following page. The 1990 World Summit for Children's End-of-Century Goals, agreed to by almost all the world's governments, specify a one-third reduction in the 1990 rates of underfive mortality (or to 70 deaths per 1,000 live births, whichever is less). Although these goals were determined over a decade ago, little progress has been made in reaching them. These goals will be revisited in September 2001, and new goals will target inequalities within countries.

The Child Survival Grants Program focuses on and will give additional points in the Evaluation Criteria for program sites that have under-five mortality rates over 70/1,000 and over 100/1,000 (please refer to Section IV). BHR/PVC recognizes that high mortality areas do remain within some lower mortality countries and that some lower mortality countries are experiencing deteriorating health conditions. PVOs proposing a program in one of the lower mortality countries must document the high mortality of the targeted population.

In 1990, world leaders who assembled at the **World Summit for Children** made a commitment to "give every child a better future", and established 27 goals for improving children's health and well being by the year 2000. Progress towards these benchmarks will be the focus of the first Special Session of the United Nations General Assembly devoted to children, to be held in 2001. BHR/PVC encourages PVOs to work with governments to meet the goals decided upon in the UN Special Session. More information can be found at http://www.UNICEF.org/specialsession/about/index.html.

## **Eligible Country List**

Under-5 Mortality Rate #	AFRICA	EUROPE and EURASIA	ASIA & NEAR EAST	LATIN AMERICA & THE CARIBBEAN
>100/1,000 live births	Angola 288.3 Niger 278.5 Mozambique 225.5 Mali 223.3 Malawi 219.5 Guinea 205.8 Rwanda 194.6 Burkina Faso*178.3	Tajikistan 136.2 Kyrgyzstan 102.5	Laos 141.8 Nepal 109.8 ✓ Cambodia 107.8	Haiti 155.1
70-100/ 1,000		Azerbaijan 95 Turkmenistan 92.4 Uzbekistan 89.4 Kazakhstan 70.6	Yemen 97.6 India 93.7	Bolivia 80 Guatemala 71.7
50-69/1,000		Georgia 59 Armenia 58.2 Albania 55	Morocco 63.4 Indonesia 54.7	Peru 54.4
<50/1,000		Moldova 49.6 Ukraine 25.8 Romania 24.1 Belarus 17.6	Vietnam 44.1 Philippines 43.4 Thailand** 41.9	Dominican Republic 44.3 Honduras 43.3 Nicaragua 42.6 El Salvador 36.6

Note: The numbers beside each country are the under five mortality rates, according to the US Bureau of the Census, International Database, 2000 updates.

<sup>\*</sup> West and Central Africa (WCA) Region: PVOs applying for the WCA Region must consult with those individuals on the contact list for guidance on priority interventions. The programs proposed must have regional relevance, no reliance on a USAID Mission, and must propose a partnership with local organizations and other U.S. and international PVOs to the extent possible, and reflect diversified funding sources for the proposed activity.

<sup>▼</sup> HIV/AIDS rapid scale-up countries.

<sup>\*\*</sup> Only refugee areas contiguous to the Burma border are eligible.

## C. Program Restrictions

- □ Child Survival Grants Program funds may **NOT** be proposed for the following types of activities: income generation, literacy training, water supply and sanitation infrastructure, or activities focused only on adolescents. BHR/PVC realizes these activities may be critical to achieving program objectives and we would support these activities if funded under the PVO cost-share.
- □ USAID will **NOT** review applications for programs for which the main purpose is: research; equipping hospitals, orphanages or other residential facilities; curative care in hospitals; surgical procedures and prosthetics; construction; manufacturing of pharmaceuticals, bednets, or other health aids; evacuation of children to the U.S. for medical treatment; emergency relief activities; or adoptions. These activities are beyond the scope of the Child Survival Grants Program.
- □ Consistent with the Establishment Clause, USAID may finance only programs that have a secular purpose and which do not have the primary effect of advancing or inhibiting religion. This means that a USAID-financed activity may not (1) result in government indoctrination of religion, (2) define its recipients by reference to religion, or (3) create an excessive government entanglement with religion. USAID grantees and other recipients of our funds must allocate our assistance based on neutral, secular criteria that neither favor nor disfavor religion and such assistance must be made available to both religious and secular beneficiaries on a nondiscriminatory basis.
- □ BHR/PVC will **NOT** review applications that are otherwise beyond the scope of the Child Survival Grants Program as determined by USAID.

In addition to the above Program Restrictions, the following **limitations** may apply:

- 1. A PVO may be a recipient of no more than **six** ongoing child survival programs at any one time. For example, if a PVO has seven current programs, two of which end by 9/30/2002, it may submit several applications, but is eligible for only one new award.
- 2. BHR/PVC will support funding of no more than **two** new FY 2002 Child Survival Cooperative Agreements to any single PVO (this does not include cost extensions). If a PVO submits three new applications and all are in the competitive range, only the two that score the highest will be funded.

## **D.** Award Categories

USAID/BHR/PVC requests applications for three categories of funding, Entry, Mentoring, and New programs. The first two categories are geared towards PVOs that have never participated in the program before. BHR/PVC encourages new entrants to *this* program to apply through either of these categories, as the office is committed to engaging new PVO partners to plan and implement successful child survival programs in developing countries. The third category – New – is open to all interested applicants and is the main category in which current and past recipients compete.

All categories are competitive, with proposed programs only competing against others in the same category. PVOs may apply for more than one category of funding. However, USAID will not award concurrent Cooperative Agreements to an entry PVO under both the Entry Program and another category. For further details concerning the post-award requirements for each type of agreement, please refer to Section V.

#### 1. Entry Category (five years, up to \$1,100,000)

USAID encourages applications from PVOs that have some experience in implementing community health programs in developing countries and that have never received a competitively awarded BHR/PVC-funded Child Survival Cooperative Agreement that follows this program's procedures.

Programs in this category are funded initially for two (2) years, and may be non-competitively extended for an additional three (3) years. Funding beyond the initial two-year period is contingent upon the successful review and acceptance of the Detailed Implementation Plan (DIP) for the program.

During the first year of an Entry Program, PVO recipients complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a work plan, called a Detailed Implementation Plan (DIP), for submission to USAID by December 31, 2003 as an application for continued funding for the five year agreement period, following guidelines provided by USAID. The analysis will include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that promotes access to care for the disadvantaged and under-served segments of the population.

The evaluation criteria applied to the DIP will be similar to those used to evaluate the New Category in this RFA, although the DIP/Application will not compete with other new program applicants in the FY 2003 cycle. The Child Survival Grants Program will be available to assist the entry PVO during the life of the Cooperative Agreement with specified technical assistance and training from CSTS and other resources. However, the PVO is responsible for preparing its own DIP, as it will be competitively reviewed.

An approved DIP will serve as the work plan for the remainder of the cooperative agreement period.

#### **2. Mentoring Category** (up to five years, up to \$1,700,000)

The second option through which PVOs may enter into the Child Survival Grants Program is the Mentoring category. This program involves a partnership between two U.S. PVOs where a more experienced PVO helps to build the capacity of a PVO that has never been funded through the BHR/PVC Child Survival Grants Program and has some international health and development experience. The more experienced PVO must have successfully completed at least one BHR/PVC Child Survival Program. This category of funding is intended to encourage PVOs

with less experience in community-based child survival programs to engage in these activities, and to increase the more experienced PVO's ability and skills in child survival technical interventions, organizational development, partnering, technical assistance, and other programming capabilities.

BHR/PVC encourages PVOs to consider developing this kind of partnership. Applications for Mentoring Cooperative Agreements will only compete with other applications in this funding category; they will not compete across categories.

A single award will be made to only one recipient (either the less experienced or the more experienced organization as determined by the partners), with the partner as a sub-recipient. The application should propose a management structure, determined by both partners to best meet their respective needs. Both the Cooperative Agreement recipient and the sub-recipient must demonstrate a formal documented presence in the proposed country.

An award in this category counts towards the recipient's limit of two new Cooperative Agreements per PVO per year. It does not count toward the limit of the sub-recipient.

To help PVOs contact others that might be interested in a partnership, attached is a list of past and current Child Survival Grants Program recipients meeting the requirements to function as a more experienced PVO in the Mentoring category. See Annex E, Recent Child Survival Grants Program Recipients.

#### 3. New Category (up to five years, up to \$1,300,000)

This is a highly competitive funding category, requiring substantial experience in child survival. Successful applicants demonstrate a strong ability to implement effective programs and set higher standards for both their organizations and the PVO community. These programs propose viable and innovative strategies, methods, or materials for implementing child survival activities that may be adapted for use by other organizations or that are applicable on a wider scale.

Programs may be up to five years in an eligible country site where the PVO has not previously implemented a BHR/PVC-funded Child Survival program awarded through the annual competitive process, and which complies with Child Survival Grants Program requirements. Applications for a New Program may be submitted for a previously funded site **only** if the proposed program is substantially different in approach and interventions. USAID welcomes applications for this award category from ALL interested, qualified and experienced U.S. PVOs. However, PVOs that have not participated in this program should also consider the Entry and Mentoring categories.

<u>During the first six months</u> of the agreement period, PVO recipients complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a work plan, called a Detailed Implementation Plan (DIP) following guidelines provided by USAID. The analysis will include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO

develop a program that promotes access to care for the disadvantaged and under-served segments of the population. The DIP is reviewed with the PVO and a panel of international health professionals from USAID and other organizations to ensure a successful program.

One award will be made to a single recipient, with any number of sub-recipients. Applications scoring over 90 points in the "New" category may be negotiated as Grants rather than Cooperative Agreements and will have no substantial involvement from BHR/PVC.

In order to demonstrate progress towards long-term financial sustainability, applications for New programs, in a country where BHR/PVC has funded the PVO for three to five funding cycles, require a cost-share of 50% of the total program costs. In a country where BHR/PVC has funded the PVO for more than five funding cycles, applications require a cost-share of 75% of the total program costs.

#### **4. Cost Extension Category** (up to five years, up to \$1,250,000)

A cost extension is an extension that includes additional funding for a modified program description to an existing Child Survival Grants Program Cooperative Agreement awarded through the annual competitive process. Cost extensions should emphasize growth and innovation, including expansion of an original program and/or a beneficiary population (e.g. expanding geographic area), as well as adding new strategies and/or interventions. The original program should have demonstrated significant results and potential for scale up. Greater emphasis should be placed on sustainability and phase out.

PVOs with programs that are ending in FY 2002 may apply for a cost-extension. Guidelines for the cost-extension application will be sent under separate cover to all PVOs with programs ending in FY 2002.

Applications for Cost Extensions will only compete with other applications in this funding category; they will not compete across categories. Competitive selection criteria will be used to evaluate these proposed programs.

## III. APPLICATION INSTRUCTIONS

## A. Technical Preparation and Submission Instructions

- 1. Read the entire RFA. Part I provides important information about BHR/PVC and the Child Survival Grants Program (CSGP). Part II discusses eligibility requirements and program priorities. Part III describes how to prepare the application. Part IV describes the application review process and selection criteria. Part V explains the negotiation and award process.
- 2. Respond to all items in Part III, including attachments where requested. Ensure that the application addresses all items cited in the Evaluation Criteria (the score sheet may be used as a checklist for preparing this application).
- 3. Follow the formatting instructions below. Applications that do not follow the instructions will not be reviewed favorably.

All applications shall be typed, and on standard, letter-sized paper (8 ½" x 11"). The body of the applications must be no more than 40 (forty) numbered pages, and all attachments must be 25 pages or less. Applications with more than 40 pages in the body will NOT be reviewed. All attachments should be clearly marked, included at the end of the application, and listed in the table of contents. All attachments and/or supplementary documents must be in English or accompanied by an English translation.

Type face/characters must be no smaller than 10 (ten) characters per inch (10 CPI) or 12 points. "CPI" is a fixed pitch spacing per inch. Point refers to the measurement of proportional spacing of scaleable fonts. To be sure about the font, hold a ruler under a line of type and count the characters in an inch. Ten CPI is generally equivalent to 12 points. Please refer to a word processing manual for a complete explanation. There are two exceptions to the above instruction: 1) budgets may be in a slightly smaller font (10 point), and 2) tables may use smaller fonts, but must be easily readable.

Unnecessarily elaborate brochures, photographs, artwork, expensive paper and bindings, and expensive visual and other presentation aids beyond those sufficient to present a complete and effective application in response to this RFA are neither necessary nor wanted.

- 4. The application package must include: **one** version on diskette in Microsoft Word 97; **one** unbound, single-sided original; and **two** bound, double-sided copies of the application (each with a complete set of attachments).
- 5. The title page of the application should include the <u>name and address of the applicant</u>, the <u>RFA number and the Solicitation Number</u>.

6. **Submit the application package on or before December 11, 2001,** to one of the following addresses:

Mailing Address: Child Survival Division USAID/BHR/PVC Rooms 7.06-087, RRB Washington, D.C. 20523-7600 Courier Address:
Child Survival Division
USAID/BHR/PVC
Room 7.06-087, Ronald Reagan Building
1300 Pennsylvania Ave. NW
Washington, D.C. 20004-3002
(202) 712-1307 (202) 712-1486

- 7. Send a copy of the complete application to the USAID Mission in the country(ies) of the proposed program by close of business **December 17, 2001**. It is the responsibility of the PVO to ensure that the USAID Mission receives a copy. See ANNEX B for the current Mission addresses.
- 8. For additional information: <a href="http://www.usaid.gov/procurement\_bus\_opp/procurement/">http://www.usaid.gov/procurement\_bus\_opp/procurement/</a>

#### PLEASE REMEMBER

- Submit paper copies on standard, letter-sized paper (8  $\frac{1}{2}$ " x 11") and an electronic copy on a 3.5" diskette
- Accurately complete Standard Form 424 and 424A.
- Limit body of application to NO MORE THAN 40 pages.
- Limit attachments to 25 pages, or less.
- The application text font size must be 12 points, 10 CPI, or larger.
- The entire application must be written in English, in MS Word 97. Attachments in another language must be accompanied by an English translation.
- Incomplete applications will not be reviewed.

## **B.** Application Format Instructions

All applications for Child Survival funding for FY 2002 must be made by completing the items below, including attachments where requested. The Evaluation Criteria in Section IV may be used as a checklist to ensure that **ALL** criteria are included in the application. Cross-reference any repetitive information. If any item is not applicable for the program, explain why it is not applicable. Do not omit reference to that item. Refer to the two previous pages for formatting and submission instructions.

#### The following are the page limits:

Budget Information: No limit Executive Summary: 2 pages Body of Application: 40 pages All Attachments: 25 pages

The application should include the following information:

#### **Budget Information**

- SF 424 and 424a
- Detailed Budget and Budget Narrative

Executive Summary (2 page limit)

Description of the PVO Applicant

**Program Description** 

- Situational Analysis
- Program Approach

Child Survival Interventions

Organizational Development

Sustainability

Performance Monitoring and Evaluation

Management Plan

- Organizational Structure
- Human Resource Management

Contingency and Security Planning

Financial Management

Project Work Plan

#### **ATTACHMENTS**

Map of Program Area

Mentoring Agreement (if applicable)

Legal Authorization to Operate in Target Country (ies)

Previous Evaluations (if applicable)

List of Federally Funded Contracts and Assistance (if applicable)

List of All Pending Applications (if applicable)

Letters of Support

Position Description/CVs

**Organizational Chart** 

Certifications (if applicable)

## C. Budget Preparation and Submission Instructions

#### 1. Standard Form 424 & 424A

Standard Form 424 is the standard form used by applicants as the required face sheet for applications submitted for Federal assistance. Standard Form 424A is the form used by applicants for presenting overall budget information. These forms (424 & 424A), along with detailed instructions for completing them, are included in Annex A of this document. Please pay careful attention to the budget instructions. There are specific criteria that must be met for this program, some of which may have been amended since the previous RFA. Failure to accurately complete these forms could result in a non-funded application.

The Standard Form 424A, <u>Section A</u> requests costs organized by <u>headquarters</u> and <u>field</u>, and by Federal and Non-Federal. This information should be the same as that presented in other sections. Federal refers to the funds requested from USAID and Non-Federal refers to funding from the applicant and other sources. The amounts for Federal and Non-Federal presented here should be the same as the Estimated Funding presented on Standard Form 424, 15.a and b, plus any entry for e. The total program amount on SF 424 should be the same amount presented in Section A and in Section B. For further information regarding use of Non-Federal funds, refer to the discussion of budget narrative and "cost-share" in this section of the RFA.

**Headquarters Costs** are *direct* costs incurred by the U.S.-based PVO head office in the United States in support of the child survival program overseas. This does not duplicate established indirect cost rates. USAID will support up to 15% of the direct costs of the USAID funds in the program budget for the PVO's U.S. headquarters' (or joint headquarters' in the applications for Mentoring) for support to the field program, and for improving child survival technical and operational capabilities of the PVO(s). This amount may be exceeded up to 20% of the proposed direct costs if the application clearly shows how any additional funds will improve the PVO's institutional capacity for child survival programming. USAID will support up to 20% of headquarters costs for Entry Programs. The headquarters budget should be directly related to the description of how the PVO builds and maintains technical and operational capacity. In addition to backstopping and site visits to the field program, types of activities that PVOs have included in the past are continuing education opportunities for staff, information exchange and technical networking among PVOs, reference materials, and observational visits to other field programs of the same PVO or other PVOs. All headquarters costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in Annex A.

**Field costs** should include all funds designated for expenditure within the host-country for carrying out the planned program. All field costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in this RFA.

Standard Form 424A, <u>Section B</u> is divided into eleven "<u>Object Class Categories</u>". The Object Class Categories must be presented in two columns, "<u>Federal</u>", which are the costs being funded by the USAID portion of the overall program budget, and "<u>Non-Federal</u>", which are the costs covered by the PVO cost-share portion of the entire program budget. The entire program budget must be appropriately distributed and contained within these categories and columns. The

categories include Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, Total Direct Charges, Indirect Charges, and Totals. The Construction category does <u>not</u> apply to this program. Program costs proposed for "training" and for "subgrants" must be included in the "Other" Object Class Category. For further elaboration on each of the Object Class Categories, please refer to the instructions in Annex A. Annex A includes a sample Standard Form 424 and 424A.

#### 2. Detailed Budget and Budget Narrative

The detailed budget and narrative should follow the SF 424 and 424A and should fully define and support the line item costs for both the Federally-funded (USAID) and Non-Federally funded (PVO cost-share) portions of the budget. Based on the calculations shown in the narrative, the Cognizant Technical Officer (CTO) and the Agreement Officer should be able to easily verify all costs for the proposed program. The costs proposed for "training" and "subgrants" must be itemized in the explanation of the Object Class Categories within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget.

All costs contained in the budget should accurately reflect the planned level of program activities in the program design. For example, the training budget should reflect the specific training activities to be undertaken by the program. If 20% of the program approach includes training, then the budget should reflect the detailed training costs for this level of activity. This same principle should be maintained throughout the budget when itemizing all field costs.

Applications for all program categories should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance in Annex A on Equipment, Supplies, and Other, including the sections on restricted goods, 22 CFR 228, and Standard Provisions 3.10. BHR/PVC will **NOT** authorize the use of USAID funding for any restricted goods. BHR/PVC does **NOT** seek waivers for the purchase of non-U.S. motor vehicles, pharmaceuticals, used equipment, seeds or pesticides. The applicant should consider funding such commodities with the Non-Federal portion of the program budget.

#### **Restricted Goods**

- ➤ Agricultural Commodities
- Non-US Motor vehicles (including motorcycles and mopeds)
- **➣** Pesticides
- **☒** Used Equipment
- 🖾 U. S. Government-Owned Excess Property
- **➣** Fertilizer

The recipient is expected to comply with USAID Eligibility Rules for Goods and Services in the Standard Provisions, and 22 CFR Part 228, and use its cost-share for any goods and services that do not comply with these rules.

With the original application, include the **two** self-certifications pertaining to compliance with applicable Federal and USAID-accepted policies for personnel, travel, and procurement systems. If the <u>Recipient Certificate of Compliance</u> has been completed for other USAID grants, it is not necessary to resubmit – instead, include a copy of a previous Recipient Certificate of Compliance in the application. A previous copy of the USAID <u>Certifications</u>, <u>Assurances and Other Statements of Applicant/Grantee</u> may be included in the application if it has been completed within one year of the due date for this application. If not, then it must be updated and attached. If the applicant has not yet completed these certifications, a self-certification package may be obtained from:

Mr. Steve Tashjian, Branch Chief
USAID/M/OP/PS/OCC
FAX: 202-216-3395
Ronald Reagan Building, Room 7.08-061
1300 Pennsylvania Ave., NW
Washington, D.C., 20523-7802

## D. Technical Application

## 1. Executive Summary

The Executive Summary from each application is used by BHR/PVC as an informational document for decision-makers, Congress, public inquiries, the press, and others. Therefore, this section should contain the information that the PVO believes best represents its proposed program. The executive summary is limited to two pages.

There is no prescribed format for the executive summary. However, it should briefly include **all** the following:

- program location
- problem statement
- estimated number of beneficiaries, broken down by children under five and women of reproductive age
- program goals, objectives and major strategies
- a break down of the estimated level of effort devoted to each intervention using the list of interventions in Section I (e.g. immunizations 30%, control of diarrheal diseases 45%, and pneumonia case management 25%. If IMCI is proposed, do NOT list IMCI 35%, rather list as above)
- local partners involved in program implementation
- the application category
- the proposed start and end dates
- the level of funding
- name and position of the local USAID Mission representative with whom the proposed program has been thoroughly discussed, prior to submission
- main authors of the document
- contact person at HQ for the proposed program (also to be listed in SF424)

#### 2. Description of the PVO Applicant(s)

This section of the application provides information about the applicant organization. The section should provide evidence that the PVO has the ability to carry out a successful program. For Mentoring and other programs that involve partnering of two or more U.S. PVOs, all of the following information should be provided for <u>each</u> of the U.S. PVO partners.

- Describe the U.S. PVO applicant including its general purpose, mission statement, goals, annual budget (including funding sources), major sectors of involvement, and main methods of operation.
- Explain how the proposed program authenticates the overall mission of the organization.
- Discuss the organization's <u>past performance</u> as it relates to the proposed program. Include experience in designing, implementing, monitoring, and evaluating international, community-level, child survival programs and how lessons learned were shared and/or scaled up between previous programs.
- Discuss partnerships between the PVO and host-country partners in the proposed country or other relevant countries, and provide examples of how the PVO has increased the capacity of local groups.
- Discuss any organizational assessments undertaken with the local partners.
- Discuss the PVO's adherence to the terms and conditions of its past USAID centrally-funded child survival Cooperative Agreements, including the technical, financial, and administrative aspects of performance.
- In an ATTACHMENT list all Federally and Non-Federally-funded contracts, grants or Cooperative Agreements involving similar or related programs for the last three years. Include (1) the name of the organization or agency funding the programs, (2) the contact person at the organization, (3) the total program budget, and areas where activities were/are being implemented, (4) the start and end dates, and (5) the main program activities.
- ☐ In an ATTACHMENT provide a list of all other applications pending Federal or Non-Federal funding for similar or related programs in the proposed country.
- Describe the organization's operations, current agreements, and working relationships with the host country government and other organizations within the country proposed in this application. Documentation of current legal authorization to operate in the host country MUST be provided in an ATTACHMENT.

Please note: For the Mentoring Category, provide as an ATTACHMENT a draft agreement between the two organizations submitting this application. Include the defined roles, responsibilities, and accountability of each partner organization. In the event that this application is approved for funding, the agreement must be finalized and signed before the award is made by USAID.

#### 3. Program Description

#### a. Situational Analysis

This section of the application presents the <u>opportunities</u> and <u>main constraints</u> to child survival and maternal health in the program location, and based on the constraints, justifies the selection of interventions and major strategies for the proposed program.

- Briefly describe the location of the proposed program (provide a map with scale in an ATTACHMENT). Estimate the total population, breaking out children under five years of age and women of reproductive age (15-49 years) living in the program site. Estimate the number of villages (or other community unit) that are in the target area. Please cite the sources of data.
- Discuss the current health status of the population including under-five and maternal mortality rates, nutritional status and major causes of mortality and morbidity. Please cite sources of data.
- Describe the major opportunities and constraints to maternal and child health and how the interventions and strategies will address those constraints. This should include, but is not limited to, the following:
  - socioeconomic characteristics of the population (such as economy, religion, gender equity, ethnic groups, literacy, or other) that have an impact on health status.
  - the current status of health care services in the site, including existing services (i.e. the PVO, other U.S. PVOs, the MOH, local NGOs, the private commercial sector, and traditional health providers), where people currently seek care, the current level of access, and barriers to access (e.g. cost for services, distance to facilities, and transportation) particularly for disadvantaged groups.
  - behavioral characteristics of the target population with regard to health (these can be briefly discussed here and elaborated upon in later sections).
  - for countries in transition, or in a post-conflict phase, please include a discussion of specific factors related to the conflict that may affect child survival outcomes.
- Explain the process used to select the site. Identify potential opportunities for synergies with other sector programs in the same geographic area. See Section II.
- Briefly state the type and background of the local partner organizations and/or groups with which the applicant organization will work.
- Describe the process used to involve all relevant stakeholders (e.g. MOH, community and local partners) in the selection of the site, interventions and strategies.

- In an ATTACHMENT, include a letter showing specific support for the proposed program from each of the cooperating governmental and/or other organizations with which the program will establish a formal relationship. Each letter must be dated within three months of the application submission.
- Describe how the program is consistent with USAID Mission's strategic objective for the proposed country.
- Applications for funding of a **third or more cycle** in the same country, should explain why the country, the site, and the program are still a high priority for assistance from the Child Survival Grants Program, and how the proposed program has learned from and builds upon (scales up) prior programs.

## **b.** Program Approach

This section provides an overview of the program, including technical interventions, organizational development and sustainability. The Program Approach section should be a stand-alone representation of the proposed program, providing a complete overview of the program design and implementation.

- Describe the broad program approach, including the goal, results-based objectives, and major strategies that will best address the constraints described in the Situational Analysis above.
- Describe the local partners' role in the implementation of the program.
- Discuss the relationship this program will have with other existing, or future health-related activities and/or health facilities in the proposed program area and country/region, including those of the applicant PVO, other PVOs, networks or associations of NGOs, local organizations, private commercial and traditional providers, and the government. For more than two cycles, describe how the program builds on the applicant's previous in-country experience.
- Describe the program's approach to behavior change for individuals, families, communities and health service providers, and others as appropriate. Include the approaches that will be used at the community level (including community health workers, traditional healers and birth attendants, mothers' groups, etc.). A broad strategy should be discussed here and elaborated upon in the Child Survival Interventions below.
- Discuss any plans for health policy-related advocacy and activities with coalitions of NGOs the program plans to undertake.
- Discuss how this program fits in with the target country's goals determined during the United Nations General Assembly Special Session (World Summit for Children) in 2001.

- Discuss the program's approach to training. Include how training will be planned, carried out, and followed-up. Be sure to include training activities in the work plan. Also discuss further the content of training in the Child Survival Interventions below.
- Describe approaches to increasing equitable access to and use of services by under-served and disadvantaged groups and segments of the population, including gender inequalities.
- Describe new methods, strategies, or materials to be developed or adopted and used by the proposed program, that may be applicable on a wider scale or beneficial in other areas or programs.
- Discuss major challenges to achieving results and how the program plans to address the challenges.
- If opportunities for synergies with another sector program in the same geographic area have been identified and will be further explored, discuss how the programs will work together and benefit from each other.
- Describe which general approach to integration of interventions will be used as a strategy for the program. If the program strategy includes some aspects of IMCI (i.e. facility based, systems strengthening, and/or household/community IMCI), address these in the program. Discuss the status of IMCI adoption and implementation in the country and the program area.
- Discuss the PVO role in national planning and policy development, if any. Identify what training materials will be used, who will conduct the training, how long it will last, and plans for supervision and follow-up.

#### 4. Child Survival Interventions

This section should provide a detailed discussion of each child survival objective and/or intervention in an integrated package or strategy. For **each** intervention:

- Describe how the program will address the essential elements of the intervention (e.g. training, care-seeking behavior, equitable access, and quality of care) and who will be responsible for carrying out activities.
- Provide an explanation of, and justification for, any proposed intervention activities that differ from the MOH policy in the proposed country.
- Provide relevant information on key household behaviors and care seeking practices. BHR/PVC does not expect the PVO to have conducted a survey, but knowledge of the local populations should be evident.
- ☐ If the program strategy includes some aspect of Integrated Management of Childhood Illness (IMCI), please address the technical issues of each intervention as they relate to IMCI.

#### 5. Organizational Development

This section describes how the applicant will use this grant to strengthen the institutional capacity of the PVO and its partners. It should specify the expected areas in which this development will take place, the systems levels that will be built upon (and the cost for doing so), and the level of expertise that each system identified is expected to attain. The organizational development approach should support the overall goal of the program, as well as the sustainability objectives outlined in the next section. See the Technical Reference Materials in Annex C.2 for information and resources on organizational development and capacity building. Also please note that a baseline and final assessment of the PVO and the local partner's organizational capacity is a requirement for funded programs. Please see Section V for details on this requirement.

#### a. Strengthening the PVO

- ☐ Identify specific organizational needs and problems to be addressed by the U.S. PVO.

  Reference any institutional assessments the organization may have already carried out.
- State the organizational development objectives for increasing the PVO's capacity under this Cooperative Agreement. Describe how the PVO will use this program to strengthen the capacity of the organization including the <u>level</u> of the organization that will be affected (e.g. health unit at headquarters, the PVO local office staff, other programs of the PVO, the entire organization). Include the above-identified issues in the discussion.
- Explain how lessons learned from this program will be shared with other programs implemented by the PVO and the international child survival community.
- Describe how the PVO intends to measure and/or document organizational change. This section may be cross-referenced with the Performance Monitoring and Evaluation Section. Discuss how the current capacity of the PVO will be assessed and provide indicators to measure progress towards objectives.

#### **b.** Strengthening the Local Partner

- Describe the program approach used to assist the local partner in its organizational development. Discuss the approach the program will take (including tools to be used), to build a strong relationship with the local partner, to jointly identify the broad areas of capacity to be built, and to develop a plan. It is not necessary to provide specific objectives and indicators in the application these may be discussed in the DIP, if the program is funded.
- Discuss any constraints to building the capacity of the local partner(s), and how these constraints will affect what can be reasonably achieved over the life of the project.

Discuss any plans to work with local networks/associations of NGOs/PVOs.

## 6. Sustainability

- Define what sustainability means from the perspective of the applicant PVO and the proposed program.
- Provide sustainability objectives, and discuss the program's strategy for achieving sustainability. Be sure to identify what elements of the program are to be sustained, and how they will be sustained, when the USAID-funded program ends. In a broad sense, what the program plans to "leave in place." At a minimum, explain how the community structures created or reinforced will continue to function, how end of project levels of coverage will be maintained, and how increased technical abilities in the local partners and the PVO will be maintained. Be sure to include the applicant organization's sustainability objectives and indicators in the Program Matrix in the Performance Monitoring and Evaluation Section.
- Discuss the assumptions (e.g. general health trends, national economic trends, local political factors, and cultural factors) upon which the applicant organization's sustainability strategy is built.
- Explain how the applicant organization's capacity building approach supports the achievement of the sustainability objectives.
- ☐ If there are plans for the program to institute a fee-for-service or other type of cost recovery, describe the process that will be undertaken to establish an analytic basis for these decisions.
- Discuss the devolution strategy for transitioning to other funding or transferring all activities to a local partner. Discuss how program recurrent costs will be phased-out or handed over to a local partner.
- Include an average cost per target beneficiary based on the projected number of beneficiaries who will be in the program area *in the final year* of the program. (Note: program area is defined as the specific geographical areas in which the program interventions will be implemented.) To be consistent, we ask that all applicants use the following formula:
  - 1. Define the target beneficiaries by determining whether the proposed intervention mix will target only children (0-59 months) or both children and women of childbearing age.
  - 2. Determine the total number of target beneficiaries projected to be in the program area at the end of the project.
  - 3. Divide the total amount of program funds (USAID funding and match funds) requested by the total number of target beneficiaries, then divide by the number of years the project is proposed to be funded.

Example: A project proposes to implement an IMCI program with a Maternal and Neonatal Care Component. Over the course of a five-year program with \$1,000,000.00 in USAID funding and \$333,000 in match funding, the project will gradually phase into 20 communities in district "X", each with a projected population of 5000 people by year 5. Of the 100,000 total population in these 20 communities, it is projected that by year five of the project there will be 30,000 women of childbearing age and 20,000 children 0-59 months.

To calculate the average cost per beneficiary:

- 1. Define beneficiaries as both women of child bearing age and children 0-59 months.
- 2. Total number of target beneficiaries is 50,000.
- 3. \$1,333,000.00 / 50,000 = \$26.66. \$26.66/5 years = \$5.33 per target beneficiary per year.

#### 7. Performance Monitoring and Evaluation

- Discuss how progress towards program objectives will be measured. Describe how current data on indicators will be collected, analyzed, and used for program management.
- Describe the types of baseline assessments, studies or surveys that will be carried out. Include baselines of PVO and local partner capacity, qualitative assessments, and population-based assessments.
- Discuss how the current capacity of the local partner(s) will be assessed.
- Describe the current data collection systems that already exist in the program area, how/if the program's data collection will be different, and how they will relate to each other.
- Discuss operations research ideas that will be carried out in the program.
- Summarize the proposed program's goal, results-based objective(s) and major activities. These should be the same as already discussed in the narrative of earlier sections. In addition, include indicator(s) for measuring the achievement of each objective. A matrix or other graphic may be used to present the information. The matrix on the following page is a composite example drawing from what various PVOs have submitted in the past. If the applicant PVO has standardized a particular approach, such as a logical framework, or a results framework, please use the organization's preferred format.

The graphic should provide the reader with a concise summary of the proposed program, what the program will hold itself accountable to achieve and how the program will measure these outcomes and impact.

# Example of a Program Matrix to Display Program Goals and Objectives

Goal:	

OBJECTIVES	INDICATORS	MEASUREMENT METHODS	MAJOR PLANNED ACTIVITIES
* Objective 1	* indicator(s)	* measurement	* activity(ies)
	* indicator	method(s)	* activity
	* indicator		
* Objective 2	* indicator	* measurement	* activity
	* indicator	method	* activity
* Objective 3	* indicator	* measurement	* activity
	* indicator	method	* activity

#### **Definitions**

Goal: A statement of the long-term aim of the project. While the complete fulfillment

of a goal may not be possible or verifiable within the life-span of the project, the achievement of the project's more specific objectives should contribute to the

realization of the goal.

Objective: A statement of what the program plans to achieve during the life of the project.

This achievement is the highest level result that a program can materially effect

with its efforts.

Indicator: An indicator specifies what is measured to determine whether the objective has

been achieved. This includes both process and outcome.

Targets: A target is the planned value of the indicator at the end of the project. (e.g. 70%)

of children fully immunized by project end). In the above matrix, targets can be stated in the objective statement or in the indicators. Illustrative, end-of-program targets should be provided in the application. If the program is funded, targets

can be adjusted in the DIP according to baseline survey results.

Measurement

Method: The measurement method identifies the source of the data for the indicators

(e.g. initial and final KPC Survey).

Planned

Activities: Activities support the achievement of the objective. These include inputs,

processes and outputs of the program.

#### 8. Management Plan

This section provides an overview of the management of the proposed program. Please highlight those areas of program management that were not discussed under the Program Description section.

# a. Organizational Structure

- Describe the proposed management structure for this program. Include the responsibilities of all principle organizations and staff involved, reporting relationships, authority, and lines of communication within and between each of these organizations.
- Discuss how the U.S. headquarters will ensure transfer of skills, information, technical assistance/updates, and lessons learned with the field program. Also discuss field to headquarters exchanges.
- In an ATTACHMENT, please provide an organizational chart that clearly delineates the key personnel responsible for technically backstopping this program in the PVO U.S. headquarters office and managing this program in the in-country office. Describe how they fit into the overall organization, and the linkages between the headquarters, regional (if applicable), and field program personnel.

### **b.** Human Resource Management

- Provide a list of ALL persons who will contribute to achieving the results of the program. This may include, but is not limited to: PVO headquarters and field staff, local partner staff, MOH staff, community health workers, and private sector providers. For each type of worker provide: 1) the number of workers in that category, 2) organizational affiliation, 3) main responsibilities, 4) percent of effort devoted to project activities, and 5) entity responsible for remunerating the worker (e.g. the PVO, MOH, community, volunteer).
- Discuss how workers will be supervised, by whom, and how competency will be measured and improved if not previously discussed in the Organizational Development Section.
- Discuss how the program staffing will ensure representation of all segments of the community.
- Provide in an ATTACHMENT resumes for the headquarters backstop and the field program manager (if already hired) and/or position descriptions.
- Discuss any foreseeable recruitment issues, such as difficulty in placing expatriate and national staff due to remoteness of program site, etc., and what will be done to overcome this constraint.

Discuss the applicant PVO's technical assistance needs and how they will be met during the life of project.

# 9. Contingency and Security Planning

Natural and man-made disasters have affected every cohort of Child Survival Grants for the last few years, during the development of the Detailed Implementation Plan. This is particularly important for those PVOs applying for programs in countries experiencing conflict and those transitioning from complex emergencies to long term, sustainable development. Briefly outline plans to prevent and mitigate the effects of security problems or other emergencies on the organization's staff and property to ensure the security and safety of program personnel.

- Specifically address the potential types of dangers the PVO is most likely to face in the proposed locations and activities.
- Discuss arrangements to ensure the security and safety of program personnel.
- Outline the applicant PVO's security plans for safe sites, a warden system, movement and transport, intra-staff communication, status analysis and evacuation methods.
- Identify the person(s) responsible for leading the development, review and updating of the PVO's security plan. During program implementation, identify the staff positions (key and alternate) that will be responsible for security or crisis management at project headquarters and in each country program.
- Describe plans to maintain the continuity of program services should the threats or crises identified occur.

For more information on security issues, please refer to http://www.usaid.gov/hum\_response/ofda/files/pyoguide.pdf, page 55.

### 10. Financial Management

- Discuss the roles and responsibilities of project staff vis-à-vis budgeting, monitoring, and reporting on the financial status of the project, to ensure accountability in the use of U.S. Government and matching funds.
- Explain how the program will track costs incurred, including costs for labor, equipment, supplies, and facilities, and how this information will be used by the project staff to build the capacity of the local partners to manage recurrent costs.

# 11. Project Work Plan

(Included in the 40 page limit)

- Please present a brief, but illustrative work plan for the life of the program. Ensure that it reflects the strategies and activities discussed throughout the application including schedule for phasing interventions or sites.
- Include a more detailed action plan (calendar of essential activities) for the first year of the program, including activity, approximate timing, and assigned responsibility. Be sure to include all training activities in the work plan.
- Discuss how the program team will use the work plan during program implementation.

# IV. REVIEW PROCESS AND EVALUATION CRITERIA

All applications that meet the eligibility and program requirements, and are prepared according to the instructions, will be evaluated and scored by a panel of USAID reviewers in strict conformity with the Evaluation Criteria set forth below. The review panel will consist of appropriate staff from BHR/PVC, USAID Regional Bureaus, and other USAID offices with international public health expertise. The panel is composed of different reviewers each year and specific PVOs may not be known to all reviewers. Decisions are made based only on the information included in the application.

USAID Missions also review the applications and send their reviews and comments directly to BHR/PVC. These reviews will be a critical consideration in funding decisions. To ensure that proposed programs adequately support achievement of USAID Mission objectives, applicants should discuss their ideas and planned programs with the USAID designated contact person (in Annex B), in the targeted country well before preparation and/or submission of an application. The PVO should cite this consultation in the Executive Summary of the application.

BHR/PVC engages non-USAID public health experts to evaluate technical aspects of the application. External reviewers submit written comments that are distributed to the review panel and taken into consideration in the scoring process.

BHR/PVC will distribute copies of each application to all reviewers, except USAID Missions. Applicants are responsible for providing a copy of the application to the relevant USAID Mission by close of business **December 17, 2001**.

The budget narrative of all applications under consideration for award will be carefully reviewed for necessary and reasonable costs to support the program.

BHR/PVC receives approximately 50-60 applications each year. Upon completion of its initial review of applications, USAID may, as it deems necessary and appropriate, conduct written and/or oral discussions with those applicants whose applications remain in the competitive range. The decision to conduct such discussions should not be considered a reflection of a final decision on which organizations will receive an award, but rather part of the evaluation process.

The review process of the Child Survival Grants Program applications will take approximately three to four months, after which BHR/PVC will prepare a recommendation for approval that is signed by the Assistant Administrator of BHR. The USAID Office of Procurement will negotiate with those PVOs that presented recommended programs, and make awards before September 30, 2002. USAID, however, reserves the right to fund any or none of the applications submitted.

BHR/PVC will provide all applicants with a summary of the review panel comments and other relevant written comments. Upon receipt of the materials, applicants may request an in-person de-briefing meeting with BHR/PVC to discuss the application. BHR/PVC will send the debriefing comments to the person indicated in Question 5 of the SF 424, unless the PVO specifies otherwise.

# A. Evaluation Criteria

The criteria on the below chart will be used to evaluate the applications, so close adherence to the criteria is necessary but does not guarantee a successful review.

Evaluation Criteria		Max. Points for Program Type			
	Entry	New	Mentoring		
Budget Information					
- SF 424, detailed budget and budget narrative itemize all program costs.					
- Appropriate use of USAID and cost-share funds, HQ & field costs are realistic.					
- Program activities are adequately budgeted.					
- PVO cost-share reflects 25% (50% for 3 <sup>rd</sup> cycle) of total budget.					
- Budget and/or narrative demonstrate partner's participation in planning.					
- Budget demonstrates phase-out of recurrent costs.					
Budget Total	10	5	5		
Executive Summary and Overall Application					
- Application follows formatting instructions.					
- Executive summary presents a comprehensive overview of the proposed program.					
Executive Summary Total	5	5	5		
Description of the PVO Applicant					
- Organization's purpose, mission, major sectors clearly presented, and the relevance of					
this program to their mission is clear.					
- Demonstrated past performance in technical and program areas.					
- Experience in building partnerships and transferring technical and management skills in					
local organizations.					
PVO Applicant Total	10	5	5		
Situational Analysis					
- Problem statement of site for country is compelling. Under 5 and maternal mortality and					
nutritional status is clearly defined.					
- High mortality country.					
- Selection of interventions and strategies based upon a thorough assessment of health					
constraints and opportunities.					
- Opportunities for synergies discussed.					
- Relevant stakeholders appropriately involved in the selection of site, interventions and					
strategies.					
- Program is consistent with USAID strategic objectives.					
- Letters of collaboration and endorsement included in attachment.					
Problem Analysis and Strategy Options Total	10	10	10		
Program Approach					
- Clearly established goals and objectives that are realistic. The objectives are measurable					
and represent the highest level result that the recipient can expect to materially affect and					
for which it will be held accountable.					
- Program approach in line with country's World Summit for Children Goals.					
- Strategies address constraints mentioned in Situational Analysis.					
- Clear picture of how the program will relate to health activities in the program area.					
- Role of local partners clearly described.					
- Clearly articulated strategy for behavior change.					
- Clearly articulated plan for training and supervision.					
- Innovative new methods, strategies or materials described.					
- Realistic plans to address challenges.					
Program Approach Total	10	10	10		

Evaluation Criteria		Max. Points for Program Type			
	Entry	New	Mentoring		
Child Survival Interventions					
- Essential elements of each intervention are addressed (incl. quality, access, behavior,					
training etc).					
- Demonstrated knowledge of target population.					
- Program approach is consistent with MOH policies, or MOH agrees to PVO approach.					
- Approach to program integration (IMCI, other) is technically sound.					
Child Survival Interventions Total	10	15	15		
Organizational Development					
- Objectives and strategies for building PVO capacity clearly described.					
- Clear plan for sharing lessons learned from this program within PVO.					
- Approach to organizational development and forming partnership with local partner is					
clearly articulated and appropriate.					
- Organizational development approach supports sustainability objectives.					
Capacity Building Total	10	10	10		
Sustainability					
- The elements of the program that are to be sustained are clearly stated.					
- Sustainability objectives and strategies are realistic and appropriate.					
- Clearly outlined devolution strategy.					
- Cost per beneficiary calculated correctly.					
Sustainability Total	5	10	10		
Performance Monitoring and Evaluation					
- Process to gather, analyze, and use data in management of project is clearly articulated					
and realistic.					
- Planned baseline studies are clearly outlined, budgeted for, and appropriate.					
- How program data collection will relate to MOH (or other existing) system is clearly					
described and the two complement each other.					
- Indicators match program objectives, and define what will be measured to evaluate					
achievements.					
- Indicators to measure objectives are consistent with globally and/or nationally accepted					
standards for child survival interventions.					
Performance Monitoring and Evaluation Total	15	15	15		
Management Plan					
- Clear organizational, human resource and financial management structures in place.					
- Roles and responsibilities are clear.					
- Sufficient and appropriate human resources are devoted to the program.					
- Sufficient backstopping from headquarters.					
- Contingency/Security Planning clearly defined.					
- Areas of technical assistance are identified and appropriate.					
- Work plan is sufficiently detailed (and included within the 40 page limit).					
Management Plan Total	15	15	15		
GRAND TOTAL	100	100	100		
	100	100	100		

# **B.** Illustrative Application Review and Notification Cycle

This box summarizes the annual issuance cycle and	Time Frame
application process of a request for application (RFA).	
RFA Release Date	September '01
Application Due Date	December '01
Notification to Applicant	May/June '02
Cooperative Agreement Negotiated/Signed	September '02

# V. Negotiation and Award

# A. Authority to Obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer. If recommended for an award, it is within the authority of the Agreement Officer to make a responsibility determination regarding the applicant organization. Prior to any award decision, the Agreement Officer may request a preaward survey of the applicant organization(s) to assess financial management capabilities and to confirm all factors of eligibility for this program.

# **B.** Budget Negotiations

If PVC recommends funding of an application to the Office of Procurement, negotiation will be undertaken directly with the applicant by that office. Budget negotiations will be conducted using applicable OMB Cost Principles and other USAID Guidance that may apply. These negotiations will entail a breakdown of each line item, and reduce to writing all understandings between USAID and the Recipient. The Agreement Officer may request, from prospective Recipients, additional information regarding the budget figures. The Cooperative Agreement Budget (CAB) in the award document will be based on the SF 424A budget and the budget narrative submitted by the PVO. Applications scoring over 90 points in the "New" category may be negotiated as Grants, rather than as Cooperative Agreements, and will have no substantial involvement from BHR/PVC.

# C. Program Funding

### 1. Amount of Awards

The Entry Category is 5 years, up to \$1,100,000. Programs in this category are funded initially for two years. Funding beyond the initial two-year period is contingent upon the successful review and acceptance of the Detailed Implementation Plan (DIP) for the program.

The Mentoring Category is up to 5 years, up to \$1,700,000. A single award will be made to only one recipient (either the less experienced or the more experienced organization as determined by the partners), with the partner as a sub-recipient.

The New Category is up to 5 years, up to \$1,300,000. One award will be made to a single recipient, with any number of sub-recipients.

USAID reserves the right to fund, in whole or in part, any or none of the applications submitted in response to this announcement.

#### 2. Cost-Share

The PVO Cost-Share: The Cost-Share is the portion of the budget covered by Non-Federal funds. An application budget that demonstrates a PVO's strong financial commitment to the proposed program from its own organization, or from other non-Federal sources, will be reviewed positively. The budget should reflect a decreasing portion of USAID funding for recurrent costs over the life of the program. Please see the Evaluation Criteria in Section IV. The cost share contribution directly contributes to the achievement of the Child Survival Grants Program objectives by encouraging ownership of the overall program, and demonstrating the commitment of the PVO. In addition, recipient procurement of non-expendable property ensures and facilitates title to the equipment or vehicle. The applicant must propose a cost-share in an amount not less than 25% of the total program budget. The total program budget is defined as the total cost of the program, including both Federal and Non-Federal sources. For example, if the total program costs \$1,340,000, USAID contributes \$1,000,000 and the PVO contributes \$340,000, then the PVO has contributed exactly 25.37% of the total.

Applicants for three to five funding cycles in a country must propose a cost-share not less than 50% of the total program budget. Applicants for more than five funding cycles must propose a cost-share not less than 75% of the total program budget. It is anticipated that based on previous accomplishments, the PVO will be able to attract other resources to meet this commitment.

The PVO cost-share may consist of PVO contributions, as well as other Non-Federally-funded contributions received by the PVO for funding of this program. The cost-share must meet all of the criteria detailed in 22 CFR Section 226.23, and the criteria must be discussed in detail within the <u>budget narrative</u>. The entire PVO cost-share must be appropriately distributed (in the correct amounts) and contained within the eleven Object Class Categories of <u>Standard Form 424 and 424A</u>, Section B, as per the guidelines in Annex A.

Please note that if any portion of the proposed cost share includes <u>pharmaceutical donations</u>, PVOs should follow internationally accepted guidelines on the use and distribution of donated drugs. Please refer to the web site <a href="http://www.drugdonations.org/eng/index.html">http://www.drugdonations.org/eng/index.html</a> for further information.

# **D.** Requirements for Funded Programs

The awards made pursuant to this RFA will be subject to the requirements of 22 CFR Part 226 "Administration of Assistance Awards to U.S. Non-Governmental Organizations," and the applicable Standard Provisions for U.S. Non-Governmental Grantees. The Standard Provisions and 22 CFR Parts 226 and 228 are available on the USAID web sites, <a href="http://www.usaid.gov">http://www.usaid.gov</a>, and <a href="http://www.usaid.gov/ftp\_data/pub/handbooks/cfr22">http://www.usaid.gov/ftp\_data/pub/handbooks/cfr22</a>.

#### 1. USAID Substantial Involvement and Responsibilities

Cooperative Agreements are grants that have <u>substantial involvement</u> by USAID in the implementation of the program. BHR/PVC will be substantially involved during the period of the Cooperative Agreement. Specifically, the Agreement Officer, or as delegated, the Child Survival Grants Program Cognizant Technical Officer (CTO) will provide:

- a. Approval of the Detailed Implementation Plan (DIP) submitted to BHR/PVC within six months (fifteen months for Entry Programs) of the award, and any subsequent revisions. BHR/PVC staff and other technical specialists will review the DIP and meet with the PVO to discuss strengths and weaknesses.
- b. Approval of key personnel including the Headquarters Technical Backstop, Field Program Manager, and Evaluation Team Leaders and any subsequent changes in the positions during the life of the award.
- c. USAID involvement in monitoring progress toward the achievement of program objectives during the Cooperative Agreement, including written guidelines for the content of annual reports and midterm and final evaluations in accordance with ADS 303.5.11.a.3.
- d. Approval of changes in the program description. This includes changes in specific activities, program location, beneficiary population, international training costs, international travel, indirect cost elements, or the procurement plan. Some of the above changes may require a modification to the Cooperative Agreement by the Agreement Officer.

### 2. PVO Recipient Responsibilities

The selected recipients will be responsible for implementing the program in accordance with the terms and conditions of the award and all applicable USAID regulations and for the following activities and documentation during the life of the program:

- a. Request for approval of the USAID <u>Cognizant Technical Officer</u> (CTO) for the following personnel: Headquarters Technical Backstop, Field Program Manager, and external Evaluation Team Leaders.
- b. A <u>baseline assessment</u> of the health status, behavior and relevant services of the target population, used to refine program design and a <u>final assessment</u> used to measure program achievements and performance against the baseline.
- c. A life-of-program (LOP) work plan, called a Detailed Implementation Plan (DIP), submitted within six months (15 months for Entry Programs) of the award/program start date using guidance from USAID. See the <u>Guidelines for Preparation of Detailed Implementation Plan (DIP)</u> in Annex C. These guidelines are updated annually for new Child Survival Grants Program recipients. BHR/PVC uses the participatory analysis of the DIP as a learning experience for both the Agency and the PVO community.

- d. A baseline and a final assessment of **the PVO's** organizational capacity at headquarters and in-country, and assistance to local partners to do a baseline and final self-assessment of their organizational capacity. If the PVO and/or local partner has conducted an organizational assessment in the two years prior to the award, this may be used as a baseline.
- e. Mid-term and final evaluations and annual reports according to the requirements outlined in the Cooperative Agreement.
- f. A documented cost-share not less than 25% of the total program budget, as described in Section V. Applicants for three to five funding cycles in a country must propose a cost-share in an amount not less than 50% of the total program budget. Applicants for more than five funding cycles in a country must propose a cost-share in an amount not less than 75% of the total program budget. If the PVO does not meet the cost-share commitment by the end of the award, past performance and future funding decisions will be affected.
- g. Request for approval from the USAID <u>Agreement Officer</u> for any changes in the program description, including changes in specific activities, program location, beneficiary population, international training costs, international travel, indirect cost elements, or the procurement plan. Some of the above changes may require a modification to the Cooperative Agreement by the Agreement Officer.
- h. An annual submission of the updated Standard Form 424A, Sections D and E only, along with the annual submission of either an annual report, or a mid-term or final evaluation, in response to the program cycle.
- i. The recipient should provide copies of the final Cooperative Agreement to all key program personnel as cited in the Agreement.

# **ANNEXES**

- A. SAMPLE STANDARD FORM 424 AND 424A AND ANNOTATED INSTRUCTIONS
- B. USAID MISSION ADDRESSES
- C. SAMPLE GUIDELINES FOR DETAILED IMPLEMENTATION PLAN (DIP)
  - C.1. GUIDELINES FOR DIP PREPARATION
  - C.2. TECHNICAL REFERENCE MATERIALS
- D. STANDARD PROVISIONS; 22 CFR 226
- E. RECENT CSGP RECIPIENTS
- F. BHR/PVC 2000 RESULTS REPORT
- G. CERTIFICATIONS/ASSURANCES AND OTHER STATEMENTS OF APPLICANT/GRANTEE

ANNEX A RFA 938-2002-A-0500-18 Child Survival Grants Program

# STANDARD FORMS 424 AND 424A INSTRUCTIONS FOR COMPLETION AND SAMPLE BHR/PVC CHILD SURVIVAL GRANTS PROGRAM

# Standard Form 424

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED Applicant Identifier			
ALLEGATION IV	ON TEDENAL ASS	STANCE		NA	
1. TYPE OF SUE	BMISSION:		3. DATE RECEIVED BY STATE	State Application Identifier	
Application		Reapplication NA	NA	NA	
Construction		Construction	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier	
X Non-Construction		Non-Construction		NA	
5. APPLICATION INFORMATI	ON				
Legal Name:			<u>Organizat</u>	ional Unit	
Address (give only county,	state, and zip code):		Name and telephone number of person to be contacte code)	d on matters involving this application (give area	
6. EMPLOYER IDENTIFICATION	ON NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box)	<u> </u>	
O TYPE OF APPLICATION			A. State	H. Independent School Dist	
8. TYPE OF APPLICATION  X New	Co	ntinuation Revision	B. County  C. Municipal	State Controlled Institution of Higher Learning     J. Indian Tribe	
	etter(s) in box(es)		D. Township	K. Individual	
A. Increase Award	etter (s) iii box(es)	D. Decrease Duration	E. Interstate	L. Profit Organization	
B. Decrease Award		E. Other (specify):	F. Inter-municipal	M. Other (specify)	
C. Increase Duration		z. ema (apauly).	G. Special Dist.	Otto: (Opour))	
	DOMESTIC ASSISTANCE NUMB	BER:	9. NAME OF FEDERAL AGENCY		
NA			USAID/BHR/PVC		
TITLE:			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
12. AREAS AFFECTED (C	Cities, Counties, States, etc.)	:			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:			
START DATE	END DATE	a. Applicant NA	b. Project		
15. ESTIMATED FUNDING			16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXE		
a. Federal	\$		10. IS ALL EIGHTON SUBJECT TO REVIEW BY STATE EXEC	SOTIVE ORDER 12372 I ROGESS:	
b. Applicant	\$		A. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:		
c. State	\$ NA				
d. Local	\$ NA		DATE		
e. Other \$			B. NO. X PROGRAM IS NOT COVERED BY E.O. 12372 X OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
f. Program Income \$			_		
g. TOTAL \$					
17. IS THE APPLICANT DELIN	QUENT ON ANY FEDERAL DE	BT?	Yes If "Yes", attach an explanation	No	
18. TO THE BEST OF MY K THE APPLICANT WILL (	NOWLEDGE AND BELIEF, ALL COMPLY WITH THE ATTACHE	DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AT DASSURANCES IF THE ASSISTANCE IS AWARDED.	ND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZE	D BY THE GOVERNING BODY OF THE APPLICANT AND	
a. Type Name of Authorized Re	epresentative		b. Title	c. Telephone Number	
d. Signature of Authorized Representative				e. Date Signed	

#### **INSTRUCTIONS FOR THE SF 424**

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item: Entry: Item: Entry:

- 1. Self-explanatory.
- Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
- 3. State use only (if applicable).
- If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
- Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.
- Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
- 7. Enter the appropriate letter in the space provided.
- Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - "New" means a new assistance award.
  - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
  - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
- Name of Federal agency from which assistance is being requested with this application.
- Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

- 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 12. List only the largest political entities affected (e.g., State, counties, cities).
- 13. Self-explanatory.
- 14. List the applicant's Congressional District and any District(s) affected by the program or project.
- 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.
- This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
- 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

SF 424 Back (Rev. 4-92)

# Standard Form03 424A Budget Information - Non-Construction Programs

			SECTION A - BUDGET SU	MMARY	
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds			New or R
		Federal {c}	Non-Federal {d}	Federal {e}	Nor
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$
2. Field	NA	NA	NA		
3. NA	NA	NA	NA	NA	
4. NA	NA	NA	NA	NA	
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$
		<b>SECTI</b>	ON B - BUDGET CA	TEGORIES	
6. Object Class Categ	ories	USAID PROGRAM		RECIPIENT FUNDS	
		(1) Federal	(2) Non-Federal	{3}	
a. Personnel (1)		\$	\$	\$ NA	\$
b. Fringe Benefits	(1)			NA	
c. Travel (1)				NA	
d. Equipment (3)				NA	
e. Supplies (3)				NA	
f. Contractual (3)				NA	
g. Construction	N/A			NA	
h. Other (1), (2) (se	ee notes)			NA	
i. Total Direct Char	rges (sum of 6a-6h)			NA	
j. Indirect Charges	(4)			NA	
k. TOTALS (sum o	of 6i and 6j)	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$

# STANDARD FORM 424A (cont'd)

\$	(b) Applicant  \$ NA NA	\$	(c) State  NA  NA  NA	(d) (
	NA NA	\$	NA	\$
\$	NA			
\$	NA		NA	
\$	<u> </u>			
\$			NA	
•	\$	\$	NA	\$
SECTION	N D - FORECASTED (	CASH NEEDS	3	
tal for 1st Year	1st Quarter	2r	nd Quarter	3
9	\$	\$		\$
DGET ESTIMATES (	OF FEDERAL FUNDS	NEEDED FO	OR BALANCI	E OF THE PR
			Future 1	Funding Periods
	(b) First	(0	e) Second	
9	\$	\$		\$
	NA		NA	
	NA		NA	
\$	\$	\$		\$
SECTION F	F - OTHER BUDGET	INFORMATI	ON	
2	22. Indirect Charges:			
	DGET ESTIMATES  SECTION	\$ DGET ESTIMATES OF FEDERAL FUNDS  (b) First  \$ NA NA NA	\$ \$  DGET ESTIMATES OF FEDERAL FUNDS NEEDED FO  (b) First (c)  \$ \$  NA  NA  NA  \$ \$  SECTION F - OTHER BUDGET INFORMATION	\$ \$ \$  DGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE  Future F  (b) First (c) Second  \$ \$  NA NA NA NA NA S  SECTION F - OTHER BUDGET INFORMATION

 $Authorized\ for\ Local\ Reproduction\ Standard\ Form\ 424\ A\ (Rev.\ 4-92)\ Page\ 2$ 

# Standard Form 424A (cont'd.) INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

#### **General Instructions**

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amounts(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

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# Standard Form 424A (cont'd.)

# **INSTRUCTIONS FOR THE SF 424A (continued)**

#### Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

#### Section D. Forecasted Cash Needs

 $\pmb{\text{Line 13}}$  - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

# Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding

periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct objectclass cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

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The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

## a. Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

# b. Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

### c. <u>Travel</u>

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

## d. Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at http://www.usaid.gov/pubs/ads.

### e. Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at http://www.usaid.gov/pubs/ads/300/312/htm.

### f. Contractual Services

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and perdiem. This category is not to be used for sub-grants, which should be included in other.

# g Construction

N/A

### h. Other

PVOs are to identify all costs associated with training of project personnel.

PVOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site http://www.usaid.gov/pubs/ads.

The PVO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

# i. Indirect Charges

Include a copy of the PVO's most recent negotiated indirect cost rate agreement (NICRA) from cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies, must be documentable.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do NOT use the four Cost Elements of the Cooperative Agreement Budget shown below.

### SAMPLE COOPERATIVE AGREEMENT BUDGET

Budget Cost Element	SF 424, sec.B, Item 6 Object Class Category	Budget Amount
Program Training Procurement Indirect Costs Program's Total Budget	Line a, c, and h Line h Line d, e and f Line j	\$ \$ \$ \$
Funding arrangement: Total USAID Amount Recipient's Cost Share Total Program Funding		\$ \$ \$

# **ANNEX B**

**USAID MISSION CONTACTS/ADDRESSES** 

# **ANNEX B**

# USAID MISSION CONTACTS / ADDRESSES (In Alphabetical Order by Country)

Country	Contact Person	Official Address	Commercial Courier
Albania	Zhaneta Shatri, Technical Officer Rita Hudson, PVO Liaison Officer	DOS/USAID 9510 Tirana Place Washington, DC 20521-9510	USAID/American Embassy 103 Rruga e Elbasanit Tirana, Albania Tel: 355-42-247289 Ext. 1570
Angola	Dr. Jeff Ashley Dr. Alex Saul PVO Liaison Officers	DOS/USAID 2550 Luanda Place Washington, DC 20521-2550	USAID/Angola Rua Kwame Nkrumah, 31 Luanda, Angola Tel: 244-2-399-518/19/20
Armenia		DOS/USAID 7020 Yerevan Place Washington, DC 20521-7020	USAID/Yerevan #18 Baghramian Street Yerevan, Armenia, 375019 Tel: 7-3742-151-955
Azerbaijan	Khalid H. Khan, Humanitarian Assistance Specialist	DOS/USAID 7060 Tbilisi Place Washington, DC 20521-7060	USAID/Caucasus/Tbilisi 20 Telavi Street, 5 <sup>th</sup> Floor Tbilisi, 380036, Rep. Of Georgia Tel: (995-32) 93-12-62
Belarus	Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Benin	Alicia Dinerstein, HPN Officer Lynn Keeys, PVO Liaison Officer	DOS/USAID 2120 Cotonou Place Washington, DC 20521-2120	USAID/Cotonou Rue Caporal Anani Bernard B.P. 2120 Cotonou, Benin Tel: 229-30-0500
Bolivia	Charles Oliver, HPN & PVO Liaison Officer	American Embassy USAID/La Paz Unit #3914 APO AA 34032	USAID/Bolivia 109 Calles No. 9 Obrajes La Paz, Bolivia Tel: 591-2-786-544 Ext. 3308
Cambodia	David Piet, OPH (chief) Ngudup Paljor, MCH Advisor	American Embassy USAID/Phnom Penh Box P APO AP 96546	USAID/Cambodia No. 18 Mongkul Eam Street #228 Phnom Penh, Cambodia Tel: 855-23-427-640
Congo, Democratic Republic of	Reggie Hawkins, PHN Officer Nancy Bolan, Dep. PHN Officer	USAID/Kinshasa Unit 31550 APO AE 09828	Tel: 243-12-21533 Fax: 243-88-03274
Dominican Republic	Kelva Perez, PVO Liaison Officer David Losk, HPT Team Leader	USAID/Santo Domingo Unit #5541 APO AA 34041-5541	American Embassy USAID/Santo Domingo Leopoldo Navarro 12 Santo Domingo Dominican Republic Tel: 809-731-7018

Country	Contact Person	Official Address	Commercial Courier
El Salvador	Silvia Gonzalez, PVO Liaison Officer Margarita Lobo, Technical Officer	USAID/San Salvador Unit # 3110 APO AA 34023	USAID/EI Salvador Urbanizacion Y Blvd Santa Elena Antiquo Cuscatlan, La Libertad, El Salvador Tel: 503-2-981-666
Eritrea	Linda Lou Kelly, Mission Technical Officer Kathrin Lauer, PVO Liaison Officer	DOS/USAID 7170 Asmara Place Washington, DC 20521-7170	USAID/Asmara Debretabor Street, 15 Asmara, Eritrea Tel: 291-1-126546 Fax: 291-1-123093
Ethiopia			
	Dr. Hana NekaTebeb, CS Project Coordinator Getahun Dendir, PVO Liaison Officer	DOS/USAID 2030 Addis Ababa Place Washington, DC 20521-2030	USAID/Ethiopia Riverside Building Asmara Rd & Bole (Olympia) Addis Ababa, Ethiopia Tel: 251-1-510-716
Republic of Georgia	Catherine Fischer, Regional Health Advisor	DOS/USAID 7060 Tbilisi Place Washington, DC 20521-7060	USAID/Caucasus/Tbilisi Fifth Floor, 20 Telavi Street Tbilisi 380036, Republic of Georgia Tel: 995-32-98-23-93
Guatemala	Edward Scholl Technical Officer/PVO Liaison	USAID/Guatemala American Embassy Unit #3323 APO AA 34024	USAID/Guatemala 1 Calle 7-66, Zone 9 01009 Guatemala Guatemala, C.A. Tel: 502-332-0202
Ghana	Andrew Krefft, PVO Liaison Officer Laura Slobey, HPNO Office Chief	DOS/USAID 2020 Accra Place Washington, DC 20521-2020	USAID/Ghana 45/3 Independence Ave. Accra, Ghana Tel: 233-21-225-087/228-467
Guinea	Neil Woodruff, Technical Officer	DOS/USAID 2110 Conakry Place Washington, DC 20521-2110	USAID/Guinea Camayenne Corniche Nord Quartier Cameroun Conakry, Guinea Tel: 224-41-2163
Haiti	Yves Marie Bernard, Technical and PVO Liaison Officer	DOS/USAID 3400 Port-au-Prince Place Washington, DC 20521-3400	USAID/Haiti #17 Harry Truman Blvd. Port-au-Prince, Haiti Tel: 509-229-3034
Honduras	Meri Sinnitt, Chief Office of PHN Honduras Doug Ball, Program Officer	USAID/Tegucigalpa Unit # 2927 APO AA 34022	USAID/Honduras Avenida La Paz Frente Embajada Americana Tegucigalpa D.C., Honduras Tel: 504-36-9320
India	Samaresh Sengupta, PVO Liaison Officer	DOS/USAID 9000 New Delhi Place Washington, DC 20521-9000	USAID/American Embassy Shantipath, Chanakyapuri New Delhi 110-021, India Tel: 91-11-611-3033

Country	Contact Person	Official Address	Commercial Courier
Indonesia	Jonathan Ross or Carol Rice	American Embassy/USAID Box #4 APO AP 96520	USAID/Indonesia C/o American Embassy Jl. Medan Merdeka Selatan 3-5 Jakarta 10110, Indonesia 62-21-344-2211
Kazakhstan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty , Kazakstan Tel: 7-3272-507612
Kenya	Dana Vogel, Chief PHN Victor Masbayi, PVO Liaison Officer	USAID/Nairobi Unit # 64102 APO AE 09831-4102	USAID Towers – RFMC P.O. Box 30261 N. Kenya The Crescent, Parklands Nairobi, Kenya Tel: 254-2-862400 Ext. 2818
Kyrgyzstan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-506636
Madagascar	Susan Anthony, Mission Technical Officer Agnes Rakotomalala, PVO Liaison Officer	DOS/USAID 2040 Antananarivo Place Washington, DC 20521-2040	USAID/Madagascar Immeuble Vonisoa III Avenue Docteur Ravohangy Anosy, Antananarivo 101 Madagascar Tel: 261-2-254-89
Malawi	Mexon Nyirongo, Technical Officer	DOS/USAID 2280 Lilongwe Place Washington, DC 20521-2280	USAID/Lilongwe NICO House, 1st Floor Lilongwe 3, Malawi Tel: 265-782-455
Mali	Ursula Nadolny PHN Office	DOS/USAID 2050 Bamako Place Washington, DC 20521-2050	USAID/Mali Immeuble Dotemougou Rue Raymond Poincarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-223-602
Moldova	Pamela Mandel, Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Morocco	Susan Wright, Technical Advisor/PVO Liaison Officer	American Embassy USAID/Rabat PSC 74 Box 022 APO AE 09718-5000	USAID/Morocco 137 Avenue Allal ben Abdallah Rabat, Morocco Tel: 212-776-2265
Mozambique	Okey C. Nwanyanwu, Chief HPN Officer	DOS/USAID 2310 Maputo Place Washington, DC 20521-2310	USAID/Mozambique 107 Rua Faria de Sousa-Caixa Postal 783 Maputo, Mozambique Tel: 258-1-490-726

Country	Contact Person	Official Address	Commercial Courier
Nepal	Lyndon Brown, Technical and PVO Liaison Officer	DOS/USAID 6190 Kathmandu Washington, DC 20521-6190	USAID/Nepal Kalamati Durbar Rabi Bhawan Kathmandu, Nepal Tel: 977-1-270-144/271-703
Nicaragua	Alonzo Wind, Health Development Officer Dr. Alberto Araica, Health Specialist	American Embassy USAID/Managua Unit #2712, Box #9 APO AA 34021	USAID/Nicaragua C/o American Embassy Pista Sub-urbano De Los Semaforos de la Centro America dos Cuadras Abajo Frente de Syscom Managua, Nicaragua Tel: 505-2-670-502
Niger	John Uniack Davis, Development Assistance Coordinator		Tel: 227-72-26-61/64 Ext 4027 Fax: 227-73-51-36
Nigeria	Liane Adams, Technical Officer Garba Abdu, Health/Population Office	DOS/USAID 8300 Lagos Place Washington, DC 20521-8300	USAID/Nigeria 1601 Adeola Hopewell Victoria Island Lagos, Nigeria Tel: 234-1-614-412/614-698
Peru	Dr. Luis Seminario, Technical Officer, HPN Office	USAID/Lima American Embassy/USAID Unit #3760 APO AA 34031	USAID/Lima Av. Arequipa 351 Lima 1, Peru Tel: 511-433-3200/433-0555
Philippines	Ephraim Despabiladeras Technical Officer, CS	USAID/Manila FPO AP 96515	USAID/Philippines Ramon Magsaysay Building 1680 Roxas Blvd, Malate 1004 Manila, Philippines Tel: 63-2-522-9900
Romania	Susan Monaghan, Senior Health Advisor		USAID/Romania Natiunilor Unite, ! Bucharest, Romania Tel: 40-1-335-5805 Fax: 40-1-337-2683
Rwanda	Beth Drabant, PVO Liaison Officer Barbara Sow, Technical Advisor CS	DOS/USAID 2210 Kigali Place Washington, DC 20521-2210	USAID/Rwanda Blvd. de la Revolution B.P. 28 Kigali, Rwanda Tel: 5601-2-3-2126/2127/2128
Senegal	Dr. Matar Camara, CS Specialist Mr. Mawa Diop, PVO Liaison Officer	DOS/USAID 2130 Dakar Place Washington, DC 20521-2130	USAID/Senegal c/o American Embassy B.P. 49, Avenue Jean XXIII AND Rue Kleber Dakar, Senegal Tel: 221-21-4296
South Africa	Anita Sampson, Technical Officer Allan Hackner, PVO Liaison Officer	DOS/USAID 9300 Pretoria Place Washington, DC 20521-9300	USAID/South Africa Sancardia Building, 9th Floor 524 Church Street Arcadia, Pretoria 0007 South Africa Tel: 27-12-323-8869

Country	Contact Person	Official Address	Commercial Courier
Tajikistan	Mary Skarie PVO Liaison Officer	DOS/USAID 7090 Dushanbe Place Washington, DC 20521-7090	USAID/Dushanbe c/o American Embassy 105 105 Khiabon-e Rudaki, Apts. 2,3 734001 Dushanbe, Tajikistan Tel: 3772-21-03-56
Tanzania	Vicky Chuwa, Project Mgt. Specialist	DOS/USAID 2140 Dar es Salaam Place Washington, DC 20521-2140	USAID/Tanzania 3rd Floor, ATC House Ohio Street, Dar Es Salaam United Republic of Tanzania Tel: 022-2-11-7537-40 FAX: 022-2-11-6559
Thailand (Burma Border Area)	Tom Elam		US Embassy/Bangkok 120 Wireless Rd. APO AP 96546, Tel [66] (2) 205-4367 Fax 205-4131
Turkmenistan	Jennifer Adams, Director, Office of Health and Population Mary Skarie, Management Specialist	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-507612 or 507617
Uganda	Dr. Jessica Kafuko, Project Management Specialist Liz Regan Kiingi, PVO Liaison Officer	DOS/USAID 2190 Kampala Place Washington, DC 20521-2190	c/o American Embassy P.O. Box 7856 42 Nakasero Road Kampala, Uganda Tel: 341521/235879/342896 Ext. 210
Ukraine	Pamela Mandel, Senior Health Advisor	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Uzbekistan	Mary Skarie PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-506636
Vietnam	Mark Rasmuson, PHN Officer	DOS/USAID 4500 Hanoi PI., Dept. of State, Washington, DC 20521-4500	7 Lang Ha Road Ba Dinh District Hanoi, Vietnam Tel [84] (4) 772-1500 EXEC Fax 772-2615
Yemen	Fawzia Yousseff, CS Technical Officer	USAID/Sanaa Dept. of State Washington, DC 20521-6330	USAID/Yemen c/o American Embassy Sa'awan Street, Himyar Zone Sana'a, Republic of Yemen Tel: 967-1-238-843
Zambia	Stephen Hodgins, Advisor Health and Child Survival Kifle Negash, PVO Liaison Officer	DOS/USAID 2310 Lusaka Place Washington, DC 20521-2310	USAIDZambia 351 Independence Ave. Lusaka, Zambia Tel: 260-1-254-303 Fax: 967-1-238-843

Country	Contact Person	Official Address	Commercial Courier
West/Central Africa Region (WCA) 1	James Allman or Valerie Koscelnik, Family Health & AIDS Program	DOS/USAID 2010 Abidjan Place Washington, DC 20521-2010	5, Rue Jesse Owens 01 BP 1712 Abidjan 01, Cote D'Ivoire Tel: 225-2241-4528 thru 32 Fax: 225-2241-3460
- Cameroon			
- Togo			
- Cote d'Ivoire			

1 West and Central Africa (WCA) Region (Burkina Faso, Cameroon, Togo and Cote d'Ivoire): PVOs proposing for WCA must consult with those individuals on the contact list for guidance on priority interventions. The programs proposed must have regional relevance, no reliance on a US mission, partnership with local organizations and other US and international PVOs to the extent possible, and diversified funding sources for the proposed activity.

# **ANNEX C-1**

# GUIDELINES FOR DETAILED IMPLEMENTATION PLANS FOR THE CHILD SURVIVAL GRANTS PROGRAM

http://www.usaid.gov/hum\_response/pvc/child.html

### ANNEX C-2

# CHILD SURVIVAL GRANTS PROGRAM TECHNICAL REFERENCE MATERIALS\

http://www.usaid.gov/hum\_response/pvc/child.html

# ANNEX D

# USAID 22 CFR PART 226 BHR/PVC CHILD SURVIVAL GRANTS PROGRAM

# AVAILABLE ON THE INTERNET

(URL: http://www.usaid.gov/pubs/ads/cfr22/22cfr226.pdf)

# **ANNEX E**

#### RECENT RECIPIENTS

# PVO CHILD SURVIVAL GRANTS PROGRAM

(In Alphabetical Order)

ADRA - Adventist Development and Relief Agency

AFRICARE - Africare, Inc.

AKF - Aga Khan Foundation

CARE - Cooperative for Assistance and Relief Everywhere

CCF - Christian Children's Fund, Inc.

CRS - Catholic Relief Services

CWI - Concern Worldwide (U.S.), Inc.
CII (FSP) - Counterpart International, Inc

CURAMERICAS - Curamericas (formerly Andean Rural Health Care)

ESPERANCA - Esperanca, Inc.

FOCAS - Foundation of Compassionate American Samaritans

HAIHealth Alliance InternationalHKIHelen Keller Worldwide

HOPE - Project HOPE (The People-to-People Health Foundation)

IEF - International Eye FoundationIRC - International Rescue Committee

MAP - MAP International

MCI - Mercy Corps International

MCDI - Medical Care Development International
MIHV - Minnesota International Health Volunteers
PATH - Program for Appropriate Technology in Health

PCI - Project Concern International PFD - Partners For Development

PLAN - PLAN International USA, Inc (Childreach)

PSBI - The Pearl S. Buck International, Inc
PSI - Population Services International
SC - Save the Children Federation, Inc.

WRC - World Relief Corporation

WVRD - World Vision Relief and Development

# **ANNEX F**

# OFFICE OF PRIVATE AND VOLUNTARY COOPERATION BUREAU FOR HUMANITARIAN RESPONSE

# RESULTS REVIEW FY 2000

**Available on the Internet** 

URL: http://www.usaid.gov/hum\_response/pvc/r2\_01.pdf

# **ANNEX G**

# CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF APPLICANT/GRANTEE

#### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE 1 2

# 1. <u>ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING</u> NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

- (a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
  - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the

<sup>1</sup> FORMATS/GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11).

<sup>2</sup> When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

# 2. <u>CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS 3</u>

# (a) <u>Instructions for Certification</u>

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

<sup>3</sup> The applicant/grantee must obtain from each identified subgrantee and (sub) contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Transactions, set forth in Attachment A hereto. The application/grantee should reproduce additional copies as necessary.

- 5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.4 You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," 5 provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
- 9. Nothing contained in the foregoing shall be construed to require establishment of a System of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
  - 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (b) <u>Certification Regarding Debarment, Suspension, and Other Responsibility</u>
  Matters--Primary Covered Transactions

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<sup>4</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>5</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. nongovernmental organization.

- (1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:
  - (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;
  - (D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

# 3. <u>CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY</u> <u>AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS</u>

#### (a) Instruction for Certification

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- 2. The certification in this clause is a material representation of fact upon which reliance was places when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

- 4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntary excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/2 you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (b) <u>Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions</u>

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<sup>1/</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>2/</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. non-governmental organizations entitled "Debarment, Suspension, and Related Matters" (See Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. non-governmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (See Appendix 4D of USAID Handbook 13).

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

# 4. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

# (a) Instructions for Certification

- (1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
  - (3) For applicants/grantees other than individuals, Alternate I applies.
  - (4) For applicants/grantees who are individuals, Alternate II applies.

### (b) Certification Regarding Drug-Free Workplace Requirements

#### Alternate I

- (1) The applicant/grantee certifies that it will provide a drug-free workplace by:
- (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (B) Establishing a drug-free awareness program to inform employees about--
  - 1. The dangers of drug abuse in the workplace;
  - 2. The applicant's/grantee's policy of maintaining a drug-free workplace;
  - 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
    - 4. The penalties that may be imposed upon employees for drug

abuse violations occurring in the workplace;

- (C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);
- (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--
  - 1. Abide by the terms of the statement; and
  - 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;
- (F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--
  - 1. Taking appropriate personnel action against such an employee, up to and including termination; or
  - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).
- (2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address city county state zin code)

<u> </u>	or ror ringriou	Oti Oot daar	<del>000, 011, 1</del>	<del>Journey, States</del>	<u>Lip odaoj</u>	
		-	-	•		

#### Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in

the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

## 5. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### 6. CERTIFICATION REGARDING ASSISTANCE TO DRUG TRAFFICKERS

# (a) <u>KEY INDIVIDUAL CERTIFICATION</u> NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

- 2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- 3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature:	Date:	
Title/Position:		
Name:		
Organization:		
Address:		
Date of Birth:		

#### NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Mandatory Reference: 206 Supplementary Reference: N/A File Name: ads15/20657m1

# (b) PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

- 1. I hereby certify that within the last ten years:
- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
- 2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature:
Name:
Date:
Address:
Date of Birth:

### NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Mandatory Reference: 206
Supplementary Reference: N/A
File Name: ads15/20657m2

#### \*COVERED COUNTRIES

The 487 Regulations apply when assistance is being provided to or through an individual or entity in a covered country.

#### WHAT ARE THE COVERED COUNTRIES?

The covered countries are those identified annually as major, illicit, drug-producing or drug-transit countries under Section 490(h) of the FAA as well as any country or portion of a country that the State Department determines is to be treated as a covered country under the 487 Regulations.

As of November 10, 1999, the following are Covered Countries: AFR: Nigeria; ANE: Afghanistan, Burma, Cambodia, China, Hong Kong, India, Laos, Pakistan, Taiwan,

Thailand, Vietnam; ENI: None; LAC: The Bahamas, Bolivia, Brazil, Colombia, Dominican Republic, Ecuador, Guatemala, Haiti, Jamaica, Mexico, Panama, Paraguay, Peru, Venezuela.

# 7. AGREEMENT ON GRANT TERMS AND CONDITIONS

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No.	
Application/Proposal No.	
Date of Application/Proposal	
Name of Applicant/Grantee	
Typed Name and Title	
Signature	
Date	